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ETHICS AND ORGANIZATINAL STRUCTURE: A STUDY OF ORGANIZATIONAL VALUES

by

Jo A. Arney

B.A., University of Wisconsin Stevens Point, 1998

M.A., Colorado State University, 2001

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This thesis for the Doctor of Philosophy

degree by

Jo A. Arney

has been approved

by

[redacted]

Linda deLeon

[redacted]

Peter deLeon

[redacted]

Stephen Block

[redacted]

Peggy Cuciti

20 April 2007

Date

Arney, Jo, A. (Doctor of Philosophy, Graduate School of Public Affairs)

Ethics and Organizational Structure: A Study of Organizational Values

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ABSTRACT

This is a study about understanding the relationship between an organization's structure and the organizational values held by individuals who are members of the organization. It is the contention of this research to show that organizational values are, at least in part, dependent on the structure of organizations. This study seeks to provide a pair of spectacles for public managers who wish to investigate and appreciate the ethical climate of their organization. Values, as part of an organization's culture, have been studied as a tool for understanding the unethical. In an effort to test this relationship, the structure and values of nine organizations were analyzed using a cross-case analysis. The results of the study lend support to the theory that there is a relationship between and organizations structure and the latent values that are part of an organizations culture.

This abstract accurately represents the content of the candidate's thesis. I recommend its publication.

Signed [redacted]

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CHAPTER ONE

PROBLEM STATEMENT

Introduction

This is a study about the relationship between an organization's structure and the organizational values held by individuals who are members of the organization. There have been numerous studies aimed at uncovering how administrators or public managers might be able to manipulate the values of organizations and/or employees (Amis *et al.*, 2002; S. Brown; Elenkov, 2001; Finegan, 2000; Hewison, 2002; Hinings *et al.*, 1996; Jackson, 2001; Kernaghan, 2003; N. R. King, 1992; Langford, 2004; Luton & Stever, 2001; Mayo, 1989; Nalbandian & Klingner, 1987; O'Connell, 1988; Pelletier *et al.*, 1999; Schmidt & Posner, 1986, 1987; Terry & Roberts, 1996; Wilson, 2003). However, the genesis of organizational values has not been given sufficient attention in the literature. Therefore, it is important to note that this study is not about the overt manipulation of values. In fact, it is the contention of this research to show that organizational values are, at least in part, dependent on the structure of organizations. This dissertation seeks to provide a pair of spectacles for public managers who wish to investigate and appreciate the ethical climate of their organization. Values, as part of an organization's culture, will be studied as a tool for understanding the unethical. As Schein notes,

> The field can progress only when we have a set of concepts (1) that are anchored in and derived from concrete observations of real behavior in real organizations, (2) that hang together and make sense of the data that we observe as we study organizations, (3) that are amenable to some kinds of formal and operational definition, and (4) that provide some link to the concerns of practioners who are solving real organizational problems here and now (Schein, 1996a p. 230).

Organizational culture and structure have been the centerpieces of organizational research for decades (R. H. Hall, 1972; J. W. Meyer & Rowan, 1977; J.D. Thompson & Tuden, 1959). Traditional organization theory has examined both the rise of certain types of structures as well as shared belief systems within those structures. Blau and Scott (1967) write,

> The many social conditions that influence the conduct of people can be divided into two main types, which constitute the two basic aspects of social organizations: (1) the structure of social relations in a group or larger collectivity of people and (2) the shared beliefs and orientations that unite the members of the collectivity and guide their conduct (Blau & Scott, 1967 p. 77).

In other words, organizations not only have a certain kind of structure, they also have a shared system of beliefs "...which serves as standards for human conduct. In the course of social interaction common notions arise as to how one should act and interact and what objectives are worthy of attainment" (Blau & Scott, 1967 p. 3). Blau and Scott continue: "These two dimensions of social organization –the networks of orientations and shared orientations—are often referred to as the social structure and culture, respectively" (Blau & Scott, 1967 p. 4).

In spite of the fact that structure and culture have long been recognized as viable components of organizational research, the relationship between them has been far from overanalyzed. The main components of an organization's culture that will be focused on as part of this research are organizational values. In an article on coming to grips with organizational values, Padaki makes the following observations as part of a future research agenda:

> Is it possible that we need teamwork and cooperation but the organization structure reinforces individualistic or competitive behaviors? When an organization is not "walking the talk," the gap can usually be explained by inappropriate, unhelpful structure for the desired process. The interesting question that arises is: Can features of organizational structure influence the values in an organization? Or do espoused values inevitably shape structure? NGO managements are often surprised when they discover that the 'models' of structure and systems they brought into the organization have actually been influencing their lives silently, powerfully (Padaki, 2000 p. 428).

Problem Statement

In "As Plain as 1,2,3...And 4: Ethics and Organization Structure"(1993), Linda deLeon theorizes that specific types of organizational structures or models promote a identifiable ethic. She writes, "[e]ach of the models tends to generate an ethic that derives from its assumptions and supports its strategies"(1993 p. 293). DeLeon goes on to explain that each type of organizational structure/model promotes a different and distinct ethic. Since values can be tied to an individual's perceptions about ethical behavior (see literature review, section one), what it means to 'act ethically' within an organization varies by organizational model. Schwartz affirms

that there are "...desirable trans-situational goals, varying in importance, that serve as guiding principles in the life of a person or social entity" (Schwartz, 1994 p. 21) This study intends to empirically examine this theory. The research questions are:

1. Do different types of organizational structures promote distinct values as part of their organizational culture?
2. Do individuals display specific values tied to the organizational structure, either as espoused values or latent values?

According to deLeon, there are four types of organizational structures and an ethic associated with each structure. These are the *hierarchical pyramid*, the *pluralist structure*, the *egalitarian structure*, and *atomistic individualism*. The ethic promoted by hierarchies is "discipline, obedience, and service." The ethic promoted by the pluralist structure is "rules of the game." The ethic promoted by the egalitarian structure is "one for all and all for one," while the ethic promoted by atomistic individualist model is "live and let live." The ethical proclamations can be tied back to values. The relationship between ethics and values will be discussed in the literature review, section one.

Value Assumptions

The word "values" has a multitude of meanings that range from the cost of a commodity to the goal of human actions. This thesis assumes that values are the goals of human action. In other words, a value is, in and of itself, something that an

individual who ascribes to the particular value would pursue or promote. This research treats values as ontological entities that exist in the world and that can be researched and uncovered using empirical methods. This means that "right" actions are those that correctly pursue a value. Furthermore, this dissertation contends that values may exist both consciously and subconsciously and that values may be transmitted to others in an organization verbally or non-verbally. In this case, we will be concerned specifically with organizational values. “Every organization has certain core convictions about its endeavors and about the ways to go about its work. When these convictions are translated into relatively enduring practices they can be called organizational values” (Padaki, 2000 p. 420).

The Chicken or the Egg

Some readers may note that organizational structures come to pass because of shared values. Certainly organizations do arise out of a system of shared values. This may lead to the question, “which came first?” There is no denying that values help shape an organization. However, it is the contention of this research that once an organization is formed, there are certain values that members of the organization internalize and pass on to other members without even realizing it. Values will thus be examined as part of an organization's culture. It seems silly to say that an organization’s culture could have existed before and shaped the structure of the organization itself. To this end, it is worth mentioning that there is a multiplicity of

values at work in the lives of individuals. Political values or professional values may help individuals decide how to structure an organization. These are different than organizational values as defined above. This view of organizations is what Bolman and Deal call the "symbolic frame" of organizations. A frame is a way to view an organization, or a lens through which to see the organization. A structural frame, for example, looks at an organization's formal rules and relationships. Using a symbolic frame, "[o]rganizations are viewed as held together more by shared values and culture than by goals and policies" (Bolman & Deal, 1984a).

Study Purpose

The purpose of this study is to uncover and examine the relationship between organizational structures and values. The results will be useful to public managers charged with maintaining the organizational environment.

> Management refers to a set of conscious efforts to concert actors and resources to carry out established collective purposes. The management function consists of, among other things..., motivating and coordinating actors towards performance consistent with established intent (O'Toole, 2000 p. 21).

Undoubtedly managers must be able to understand and navigate the ever more complex organizational environment. Ever expanding technological demands coupled with the changing faces of government have made this task increasingly complex. "Those tasked with public management must often seek to operate on structurally more uncertain terrain, firmament that can include regular ties with

partners of not-for-profits and profit-seeking entities as well as multiple formally governmental institutions" (O'Toole, 2000 p. 23). It becomes increasingly important for public managers to recognize and understand the culture of their environment. This research asserts that understanding the organizational values that are part of an organization's culture and held by individuals is central to understanding their perceptions of what constitutes ethical and unethical behavior. Padaki agrees: "The subject of human values appears best suited to explain the phenomenon of organizational culture and, equally, to help us manage that culture effectively" (2000 p. 420).

Why should managers seek to understand the genesis of organizational values? Values often guide behavior and in turn perceptions about how others "ought to" behave.

> Every system of management – made up of methods, tools, and techniques in practice – has underlying assumptions of what *ought to be* the way of doing things in the organization. Many of these assumptions have implications in terms of how people ought to relate to other people in the various roles they play (Padaki, 2000 p. 433 emphasis in original).

However, it bears repeating that the usefulness of this dissertation is unlikely to be in its creating tools for controlling or manipulating values. This study simply seeks to provide a lens through which public managers can look at their organization and begin to understand why some actions and/or people are labeled as "ethical" or "unethical" even when they have not overtly intended to be. Khademian also

advocates studying organizational culture (and aspects of culture) as a tool of understanding for public managers:

> ...the value of organizational culture for management practioners and scholars might not rest with its potential as a management tool per se, but as a means to understand the context (constraints and opportunities) within which managers manage and how management matters (Khademian, 2000a p. 33).

Theoretical Framework

Organizations can be formal or informal. Rainey argues that "An organization is a group of people who work together to pursue a goal" (1997 p. 15). This means that a Girl Scout troop, with no identifiable structure, headed off on a camping adventure is as much an organization as a police organization with a clear hierarchical structure. This distinction is important for the discussion of Thomsen and Tuden (1959) below. They argue that sub-organizational units based on sharing a task are appropriate units of measure for organizations. The key to delineating a group as an organization is that they share a goal or task. As Rainey notes, "...the goals of an organization and its members can actually determine major dimensions of its environment" (1997 p. 125). This is the argument of Thompson and Tuden, and in turn deLeon, below.

The most common way to demarcate organizational structure has been to look at organizational dimensions. These can include formalization (amount of written documentation), specialization (division of labor), standardization, hierarchy of authority, complexity, centralization, and professionalism (Blau & Scott, 1967;

Bolman & Deal, 1984b; R. H. Hall, 1972; Pfeffer, 1982; Rainey, 1997). Looking solely at organizational dimensions, however, does not necessarily lead to an explanation of structure. It is possible to have two seemingly different structures (i.e. a hierarchical and an egalitarian structure) that are more or less specialized, formal, complex and professional. For this reason, Rainey lists four factors that influence an organization's structure. These are size, environment, technology and task, and strategic choice. Thompson and Tuden (below) focus solely on technology and task. This is the factor that will be focused on for the remainder of the study. However, the other three factors will be included in the data collection as alternative explanations of structure.

A Model of Structure

The model that will be employed here delineates organizational structure as put forward by Thompson and Tuden (James D. Thompson, 1967a; J.D. Thompson & Tuden, 1959). According to Thompson, structure is an "...internal differentiation of and patterning of relationships..." (James D. Thompson, 1967a p. 51). Much like Rainey, Thompson argues that an important factor in understanding organizations and their structure is understanding the relationships and goals of the individuals that make up the organization.

The following theoretical model of organizational structure was developed by Thompson and Tuden in 1959 in book chapter entitled "Strategies, Structure, and

Processes of Organizational Decision." According to Thompson and Tuden, an organization's structure is dependent on the clarity of its tasks (i.e. whether or not the organization has clear goals and understands the outcomes of those goals) and the beliefs about causation (i.e. whether or not the organization knows how to accomplish those task/goals). They use these concepts to form a "...four-fold typology of decision issues" (J.D. Thompson & Tuden, 1959 p. 198). They then develop four strategies for each type of decision issue. These are:

> *Decision by Computation.* Where there is agreement regarding both causation and preference, i.e. where a preference hierarchy is understood and where knowledge is available or believed to be available, decision-making is a technical or mechanical matter. In its extreme form, this situation requires no genuine choice, since the problem-solution appears as common sense (p. 198).
>
> *Decision by Majority Judgment.* Where causation is uncertain or disputed, although preferences are clearly known and shared, decision making takes on new difficulties. Lacking acceptable "proof" of the merits of alternatives, the organization must rely on judgment (p. 199).
>
> *Decision Making by Compromise.* On the occasion there may be agreement by all parties about the expected consequences or causes of available alternatives, but lack of preferences toward such "facts." Neither computation nor collective judgment is "appropriate" for this type of issue, for the blunt fact is that if one preference is satisfied another is denied. An organization facing this situation may fall apart through schism, civil war, or disinterest, unless some common item or point can be found on the several extant preference scales (p. 200).
>
> *Decision by Inspiration.* The fourth and in our typology the final type of issue is one in which there is disagreement both as to causation and as to preferences. This is, of course, a most dangerous situation for a group to be

in; certainly by definition and probably in fact the group in this situation is nearing disintegration (p. 202).

Figure 1.1 below is an adaptation by deLeon (1993) of Thompson and Tuden's matrix. The first category (Cell 1) has clear goals and clear means to achieve those goals. Cell 2 has ambiguous goals but clear means for achieving those set of goals. Cases in the third cell have clear goals but uncertain means of developing those goals. The final category (Cell 4) has neither clear goals nor clear means for achieving those goals.

Thompson and Tuden's Processes of Decision: Strategies and Structures

	Goals	
	CLARITY	*AMBIGUITY*
Beliefs about cause/ effect relation: **CERTAIN**	**Computational decision strategy** **Bureaucratic structure** **CELL 1**	**Bargaining strategy** **Representative structure** **CELL 2**
UNCERTAIN	**Judgmental strategy** **Collegial structure** **CELL 3**	**Inspirational decision strategy** **"Anomic" structure** **CELL 4**

Source: Adapted from Thompson and Tuden (1959).

Figure 1.1 Thompson and Tuden's Model: Taken from deLeon, L. (1993).

Thompson and Tuden (1959) go on to detail the appropriate type of structure for each type of decision issue. First they explain the computational structure:

A *Structure of Computation*. Assuming for the moment complete freedom to build an organization which will face *only* computation issues, and that our

> guiding norms are economy of effort and efficiency of performance, what kind of organization shall we build?
>
> This will be an organization of specialists, one for each kind of computation problem we can anticipate, and we want to introduce four constraints or rules to: (1) prohibit our specialists from making decisions in issues lying outside their spheres of expert competence, (2) bind each specialist to the organization's preference scale, (3) route all pertinent information to each specialist, and (4) route every issue to the appropriate specialist (p. 198-199).

What they have just described sounds much like Weber's pure type of bureaucracy and they acknowledge as much. Weber argued that the administrative staff in an ideal bureaucracy would be "...organized in a clearly defined hierarchy of offices" (Weber, 1967). Thompson and Tuden go on to explain the structures of majority judgment, compromise, and inspiration:

> A *Structure for Majority Judgment.* What kind of organization should we build as an ideal one to handle only judgmental problems? This is to be an organization of wise and knowing men, operating according to constraints or rules which: (1) require fidelity to the group's preference hierarchy, (2) require all members to participate in each decision, (3) route pertinent information about causation to each member, (4) give each member equal influence over the final choice, and (5) designate as ultimate choice that alternative favored by the largest group of judges – the majority (p. 200).
>
> A *Structure for Compromise.* Now the task is to construct an ideal organization to handle compromise types of issues economically and efficiently...What we want is a structure to facilitate bargaining, and since this involves detailed and subtle exploration of several factional preference scales, the decision unit must be small enough to permit sustained and often delicate interchange. On the other hand, there is the requirement that all factions – or certainly all important factions – be involved in the decision. This leads, we think, to the *representative body* as the appropriate structure. For this purpose we build rules or constraints into our organization to (1) require that each faction hold as its *top* priority preference the desire to reach agreement, i.e. to continue the association, (2) ensure that each faction be

> represented in the decision unit, (3) give each faction veto power, and (4) give each faction all available information about causation (p. 201)
>
> A *Structure for Inspiration.* It is difficult to conceive of an ideal structure for decision by inspiration, for the thinking of a social scientist is Oriented toward pattern and organization, while the situation we face here is one of randomness and disorganization...
>
> ...We will therefore call for the following constraints; (1) the individuals or groups must be independent and thus have some incentive for collective problem solving, (2) there must be a multiplicity of preference scales and therefore of factions, with each faction of approximately equal strength, (3) more information must be produced than can be processed, and it must be routed though multiple communication channels, and (4) each member must have access to the major communication networks, in case inspiration strikes (p. 203).

Of course, it is unlikely that an individual organization would face a pure type decision issue. Most organizations tend to be more or less computational or more or less judgmental or more or less based on compromise. What does this suggest about the organizational structure outlined by Thompson and Tuden for each decision type? They believe that organizations adopt one of these models as their primary decision type. "To the extent that this is true, we can expect several types of organizational difficulties which will be presented to administrators when the organizations or problems which do not fit the formal neatness of our pure types" (J.D. Thompson & Tuden, 1959 p. 205). It is because these organizations are not pure types, and will inevitably face barriers in understanding, that deLeon suggests using these models and the ethics they generate as a tool for understanding for public managers.

Building on Thompson and Tuden

As noted above, in 1993, deLeon suggested that each of these models derived its own ethic and that the internalization of this ethic sets the parameters for what is considered appropriate behavior within the organization. After initially reading deLeon's article, the relationship between an organizational ethic and values became paramount. A background in environmental ethics impressed the idea that the perceptions of what is ethical or unethical can often be tied to values.

Before going on, it is important to note that deLeon also describes organizations as groups of people pursuing a common goal or task. For example, the entire faculty at GSPA might be considered one organization, and so might the MPA curriculum committee. Even though most of these members might overlap, it is safe to say that those on both committees are part of two organizations (or sub-organizational units if you prefer). The structure of each of these organizations could potentially be quite different, which, in turn, means that the organizational values would also be different, according to her theory.

Hierarchical Pyramid

The first type of structure discussed by deLeon, the hierarchical pyramid, fits comfortably in a situation where goals preference are known and means of achieving them are also known. This type of organization is best known for its efficiency and strict chain of command. Tannenbaum et al. explain,

> Hierarchy is a part of the system of authority that is essential to the maintenance of order. Organization is a system of rules and commands, and organizations cannot function without a line of authority to assure that the decisions of leaders at the top are carried out reliably by members at the bottom (Tannenbaum *et al.*, 1974).

Examples of this type of structure are easy to come up with. Military organizations provide the easiest example. Individuals that are part of military units simply obey the commands of their superiors because it is accepted that superiors know the best way to accomplish each task. This type of structure works well for the tasks they have to accomplish, especially in combat when there is not time for compromise or deliberation. The ethic that deLeon derives for this type of structure is "discipline, obedience, and service." The value likely to get individuals to pursue this ethic is *obedience to authority or rules*. This can include obedience to superiors or to the rules and regulations of an organization. This means that individuals within a hierarchical pyramid may espouse this value or their actions may be in accordance with obedience to authority or rules.

Pluralist Structure

Like the hierarchical pyramid, the pluralist structure also generally has a top-down orientation and chain of command. Unlike hierarchies, however, the pluralist system does not recognize one formal authority. Under pluralism, groups compete to gain control by playing by the rules of the game. This fits into Thompson and Tudens' compromise cell and, as they noted, if one group wins by having its

ideas/proposals/solutions adopted, the other groups lose. In this case organizational members know how to achieve each competing goal, they just do not agree on which one is worth pursuing.

Examples of this type of organization may be thought of as organizations with internal conflict. It might have been a hierarchical organization "gone sour." Many people have been a part of an organization in which some sort of power struggle occurred but in which every person involved wanted to give the impression that they were following the rules. As Thompson and Tuden noted, these organizations are often in crisis. The ethic that deLeon derives for this type of structure is "rules of the game." The value likely to be associated with this ethic is *winning*. This means that individuals within a pluralist organization may espouse this value or their actions may be in accordance with winning.

Egalitarian Structure

DeLeon's egalitarian organizations are aligned with majority judgment of Thompson and Tuden. The idealized vision of the New England town meeting is the ideal of the egalitarian structure. DeLeon notes, "Model 3 is probably familiar not so much from the real world of contemporary administration as from utopian images"(1993). This model fits into Cell 3 of the Thompson and Tuden matrix. The outcomes of the organizational goals are clear but means of achieving those goals are rather ambiguous.

An example of this type of organization may be called a collegial organization. Ideally, it is represented in faculty departments, boards of non-profit organizations, and homeowner's associations, just to name a few. The ethic that deLeon derives for this type of structure is "all for one and one for all." The value that asserted here goes with this structure and ethic is *equality*. This means that individuals within a pluralist organization may espouse this value or their actions may be in accordance with equality.

Atomistic Individualism

The fourth type of structure discussed by deLeon is the atomistic individualistic structure. This type of structure is really not a structure at all. There is no central authority, no shared mission, and no explanation for the existence of the group. Lacking these characteristics, this type of structure (or lack of structure) is hard to define. This clearly fits in Cell 4 of the Thompson and Tuden model. Goals are ambiguous or conflicting, and there is not any clear way of knowing them, much less teaching them. Nevertheless, out of this chaos, order arises.

An example of this type of organization is a case in which individuals who have no formal association come together to accomplish a task. Two hypothetical come to mind. First, are the folks (civilians) that recently came together to help victims of hurricane Katrina. They certainly had no formal organization, no unanimity of goals, and no idea how to best help those victims. And yet, they did a

lot of good. As Thompson and Tuden note, in these situations, there is often more information than can be processed. It is easy to imagine this was the case in the rescue efforts. A second example, familiar to academics, is a group of students assigned a group task. Professors often assign small groups of students to create a presentation that they will make to the class. Although these students are part of the formal organization that is a class, their small groups (sharing a goal) have no prior structure, goal preference, or ideas about how to achieve the tasks until they come together for the assignment. The ethic that deLeon derives for this type of structure is "live and let live" The values likely to go with this structure and ethic are *flexibility and creativity.* This means that individuals within a pluralist organization will espouse this value and that their actions will also be in accordance with this value.

Summary

Using Thompson and Tuden's (1959) model for processes of decisions, deLeon delineates four types of organizational structure (or models), each, presumably forwarding different values. The hierarchical pyramid forwards obedience to authority, the pluralist system forwards winning, the egalitarian system forwards equality, and the atomistic individualist environment forwards creativity and flexibility. See Table 1.1 below.

Table 1.1 Structure, ethic, and value

Structure	**Ethic**	**Value**
Hierarchical Pyramid	discipline, obedience, and service	obedience to authority
Pluralist Structure	rules of the game	winning
Egalitarian Structure	one for all and all for one	equality
Atomistic Individualism	live and let live	flexibility

As deLeon observes,

> ...the models ramify in several directions, each having compatibilities with a different set of ontological and epistemological premises. Together, these premises and the associated model may form a *weltanschauung*, or paradigm, that may dictate an individual's ethical choices while remaining invisible to the individual himself (deLeon, 1993 p. 310).

It is only in learning to recognize this paradigm that public managers can begin to understand the ethical climate of their organizations

Conclusion

The assertion of this research is that to understand the unethical you also often have to understand the underlying value system that guides individuals' behavior. It is especially important for public managers to understand the organizational values that individuals hold and hold others accountable to. Where do these come from? This research seeks to test a theory by deLeon that suggests these values tie back to structure. If this relationship holds true, public managers can expect certain values to be present based on the structure of their organizations and this will allow them to begin to understand the unethical.

The rest of the dissertation will undertake the examination of deLeon's theory. Chapter two includes a three part literature review. The literature will be examined in an effort to delineate the current ethics research agenda in public administration, to place the question with in the theoretical realms of institutionalism and organizational culture, and to inspect other studies that utilize the work of Thompson and Tuden (1959). Chapter three details the methodology of the study. Cross case analysis will be used to investigate whether this proposed relationship holds true across various cases. Chapters four and five layout the cross-case analysis and conclusions of the study.

CHAPTER TWO

LITERATURE REVIEW

Introduction

This literature review is made up of three sections. This first section explores the current ethics research agenda in public administration and contends value research should be an important part of this agenda. The second section reviews the theory underlying the study of values as part of this research by looking at institutional theory and organizational culture. Section three examines how Thompson and Tuden's (1959) theory about structure and how organizational culture theory has been used in empirical studies.

Section One: Values in Public Administration Ethics Research

Administrative ethics cannot be understood apart from values: this is what this section will attempt to demonstrate. The intention of this section is to establish the symbiotic nature of ethics and values. Values often guide our behavior and shape how we interpret the behavior of others. As a simple example, if a person proclaims to value honesty, and if that person is sincere, chances are that the person also practices honesty. It is also likely that if others hear someone proclaim to value honesty, they too will expect that individual to act honestly. If others catch the

individual being dishonest very often, they will also label she/he as unethical.[1] This is where the relationship between ethics and values begins. It is the contention of this research that understanding the unethical requires understanding the place and effect of values within an organization.

Although some would argue that there are entire spectrums of values - including individual values, religious values, professional values, organizational values, etc. - that determine how we interpret the acts of others, I will primarily focus on organizational values and the individuals who hold those values. As Vijay Padaki notes, "Every organization has certain core convictions about its endeavors and about the ways to go about its work. When these convictions are translated into relatively enduring practices they can be called organizational values" (2000 p. 420). It is these organizational values that are of the most interest to public managers.

The Ethics Agenda in Public Administration

Numerous scholars in public administration have noted the growth of ethics research over the past decade (Bowman, 1990; Bowman *et al.*, 2001; Cooper, 2004; Lane, 1999; Menzel, 1992, 2005; Menzel & Carson, 1999). A few pivotal works have attempted to summarize and guide ethics research into the next decade and have delineated an ethics research agenda for public administration. First, two studies by Donald C. Menzel (Menzel, 2005; Menzel & Carson, 1999) have outlined ethics research up to this point. In addition, Menzel has developed some ways to

[1] This is not to deny that they may also label me as unethical using traditional ethical theories.

categorize current ethical research and offered some questions for future research. In a theoretical piece on the "big questions for administrative ethics," Terry L. Cooper has outlined four questions that should guide ethics research if cumulative progress is to be made. I will discuss each of these articles in detail and argue that their recommendations are not complete without a study of values.

A Review and Assessment of Empirical Research on Public Administration Ethics: Menzel and Carson (1999)

In 1999 Donald C. Menzel and Kathleen J. Carson published an article in *Public Integrity* that summarized the body of ethics research published in ten prominent journals from 1970 through 1998. Four questions guided their review:

1. What is the primary focus of empirical research on ethics in public administration and governance? What research questions are being asked?
2. How well does empirical research inform ethics theory? How well does ethics theory inform empirical research?
3. Are research finding cumulative? Has progress been made toward building a body of knowledge?
4. Are there new avenues of research? Are there neglected areas of study (1999, p. 239)?

In response to the first question, through examination of the literature they developed categories of the major areas of inquiry in ethics research. They write,

> We employed an open structures approach to identify study themes or topics in the literature. As we progressed, it became apparent that there are at least five major study foci in the public administration ethics literature: (1) ethical decision making, (2) ethics laws and regulatory agencies, (3) organizational performance and ethics, (4) ethics management, and (5) community and the ethical environment (1999 p. 239).

Of special interest given the topic of this chapter/paper, in the area of ethics management, the authors reviewed the central work of Bowman (1990; Bowman & Williams, 1997) and Berman, West and Cava (1994). They concluded that progress had been made in the understanding of managing ethics but that the quest had just begun.

In response to their second guiding question, Menzel and Carson put out a call for more empirical ethics research informed by theory when they question, "How well does empirical research inform ethics theory? Conversely, how well does ethics theory inform empirical research? Has the intellectual bridge between theory and reality been built? Passed over? Regrettably, the answer is "no" (1999 p. 263). Menzel and Carson do not directly address their third and fourth questions in their conclusions, but the answer is apparent when they write, "There is, in short, much catching up to do in public administration. Empirical research on public administration ethics is still a cottage industry. Whether or when it might turn into a more substantial enterprise remains uncertain" (1999, p. 263).

Research on Ethics and Integrity in Governance: A Review and Assessment: Menzel (2005)

In a follow up article in *Public Integrity* in the spring of 2005, Menzel displays a different result when he examines the literature in ten primary print journals from 1999-2004. He notes, "Research on ethics and integrity in governance has expanded at an astonishing rate in recent years" (2005 p. 147). Using the same

categories and research questions as the 1999 study, Menzel methodically reviews and categorizes articles from each of the ten journals. A second purpose of the paper highlights research in the area of ethics and public administration from other countries.

Since this dissertation is largely aimed at examining values as tools of understanding the unethical for public managers, Menzel's section on managing ethics is of special interest. In it he reviews a number of articles on ethics management (Cooper & Yoder, 2002; Gilman, 2000; Glor & Greene, 2002-3; T. E. Hall & Sutton, 2003; Holland & Fleming, 2002-3; Huberts, 2000; Joaquin, 2004; Roberts, 2004; Smith, 2003; Van Blijswijk *et al.*, 2004; West & Berman, 2004). Although each of the articles has a general theme that concerns management and ethics, their content is extremely diverse. In other words, although not directly mentioned in the article, there does not seem to be much cumulative research being done in this area. Nor do there seem to be many studies that tie back to either ethical or public administration theory. Menzel notes that "...studies that probe the complex ethical and moral interface between the individual and the organization...are largely atheoretical. There is little or no link between behavioral or institutional theories of governance...and the development of ethics management strategies" (Menzel, 2005 p. 165).

Menzel's overall conclusions are much less dreary than in 1999. Without a doubt, the field of empirical ethical research has been progressing but still has a long road ahead. Menzel summarizes his findings as follows:

> Research on ethics and integrity in governance is healthy and growing quantitatively and qualitatively. Indeed, A substantial amount of research has been initiated since 1998, with much of it empirical. And there is every reason to believe that the decade ahead will bring forth more studies that build and link ethics theory and observation, contribute to a cumulative body of knowledge, open new avenues of research, and attend to overlooked areas of study. Some of the research reported in this article is informed by ethics theory..., but much is not. More theory—observation bridge building remains to be done by future investigators (2005 p.162).

What can be taken away from these findings? Clearly there is a growing body of literature related to empirical ethical studies. However, Menzel shows us that it is time to focus on the connection between theory and research in a consistent and concentrated way.

Big Questions in Administrative Ethics: A Need for Focused, Collaborative Effort: Cooper (2004)

Most readers will be familiar with the significant impact of an article by Robert D. Behn entitled "The Big Questions of Public Management" (1995) in which to set an agenda for the future of public management research. Terry L. Copper has presented an equally considerable focal point in his 2004 article entitled "Big Questions in Administrative Ethics: A Need for Focused, Collaborative Effort." Much like Behn's article, Cooper attempts to focus administrative ethics research

around four essential questions. As noted by Menzel above, there has not been an attempt thus far to elaborate a research agenda so that the field can progress. The questions that Cooper forwards for a collaborative research agenda are as follows:

1. What are the normative foundations for administrative ethics?
2. How do American administrative ethical norms fit into a global context?
3. How can organizations be designed to be supportive of ethical conduct?
4. When should we treat people equally in order to treat them fairly, and when should we treat them unequally (2004 p. 404)?

Question three is of special interest for this study. Cooper writes, "Since the 1960's, before the birth of administrative ethics as a field of study, we have had evidence that organizational structure and culture are not neutral with respect with to ethical conduct" (2004 p. 400). He goes on to suggest that in the future we might consider bringing scholars in ethics, especially administrative ethics, together with organizational theorists to concentrate on problems of ethics within organizations. In similar fashion, this study contends that scholars must consider the role and effect of organizational structure on organizational values.

Taken together, both Menzel and Cooper have helped develop a focus on tangible and realistic goals for an ethics research agenda in public administration. What is missing in both of their discussions about ethics is a reference to values. Value theory and research can add to the study of ethics in many ways. First, as noted above, it is difficult to understand the unethical without understanding how individuals hold others accountable to the distinct and organizational values that they

hold. Second, there is a rich history of value theory that can help us understand how individual behavior and judgment of other behavior is tied to value. Philosophers refer to this focus of study as axiology. Appealing to value theory (discussed in detail below) might start to build the bridge between research and ethics theory that Menzel argues is so desperately needed. Third, the study of values within organizations can help advance Coopers's third big question in administrative ethics: "How can organizations be formed to support ethical conduct?" (Cooper, 2004 p. 404). Indeed, if values do shape the behavior of individuals and do lead individuals to label an act as ethical or unethical, then an understanding of them is imperative in answering this question, especially if the structure of an organization shaped the values (a perception of ethics) of individuals within the organizations. Even if values are inherent in certain organizational structures and cannot be easily changed, an understanding of their force can be of use. Undoubtedly public managers must understand the perceptions of ethical and unethical before they can ever hope to manage and/or manipulate them.

Examining the Value/Ethics Relationship

In the article that is the premise of this dissertation research, deLeon presents two scenarios that help us first think about the symbiotic relationship between ethics and values. DeLeon writes:

> At a faculty meeting, one professor was charged with unethical conduct by his colleagues for taking his concerns about hiring practices in the department

> to an officer of the university administration. One of his colleagues said it was a violation of the chain of command. Another said that any concerns should first be discussed within the "departmental family" before being shared with someone outside the group (1993 p. 309).

Analyzing this situation reveals some interesting details. Clearly, in this case the professor's colleagues believed his behavior was unethical. The three most common approaches to resolving ethical dilemmas are thought to be ends-based (appeal to consequences), rules-based (appeal to a set of rules or to universal law) and care-based (appeal to personal relationships) do not seem to explain completely why his colleagues reacted this way (Kidder, 1995). The article does not give enough details about the consequences of this action to know whether it was the fall out of this decision that upset this individual's colleagues. However, what also seems likely in this situation is that the professor did not act in accord with the group's values. It seems apparent from the statements given that the group valued an egalitarian approach to problems. By going straight to the administration, the professor above did not act in accordance with that value and not acting in accordance with that value caused others in the group to label him as unethical. Let's consider another example offered by deLeon,

> An agency administrator was overheard discussing upcoming budget hearings with her deputy. "We need to get our share of resources," she said, "so I'm prepared to go in there and confuse them with statistics!" The employee who reported the conversation commented that it is unethical to try to win this way (1993 p. 309).

Again analyzing this situation leads us to question why the administrator was labeled as unethical. Again, the traditional ethical theories briefly sketched above, do not seem to provide an explanation of "why" the employee believed this was unethical. What seems likely is that the administrator's actions went against what the employee saw as the organizational values that should be upheld. Without more information about the organization, it is hard to tell what that/those value/values might be. Perhaps the employee thought that only the director of the organization should make decisions about funding and that not giving her straightforward information impaired her ability to make a good decision. In this case, obedience to authority might be the primary value being upheld by the employee. Or perhaps the employee thought everyone in the room should have equal information so they could make the decision jointly. In this case, the value might be much like the faculty value above of an egalitarian approach to problems. What is clear is that understanding the values of the employee and the organizational values would help us understand why this administrator was deemed unethical.

A final example that potentially demonstrates the need to understand values in reference to ethics comes from Cooper. In the section on organizational design, he notes that certain types of organizational structures and cultures seemingly prohibit what we would ordinarily think of as ethical behavior. He recalls,

> There is no doubt that among those several thousand cases in my files, the single most frequent problem presented is one concerning an organizational

> hierarchy, and often an organizational culture, that impedes ethical conduct and punishes those that attempt to act ethically, and sometime even those who suggest doing so (Cooper, 2004 p. 402).

What might the role of values have to do with this phenomenon? Could it be that organizations hierarchically structured inherently advance the value of obedience to authority, and that this value so strongly prevails over and influences the behavior of individuals within the organization that actions deemed unethical using traditional ethical theories as a measure are overridden by adherence to the value of obedience? If so, an examination of values might start to shed light on this mysterious occurrence. After all, as Cooper notes, "Ethics is as much about organizational design as it is about analytical and decision-making skills." (Cooper, 2004 p. 402)

The three examples above are intended to demonstrate the importance of studying values as part of an ethics research agenda for public administration. As deLeon notes, most current work on ethics "...is oriented toward improving the way we try to analyze ethical problems rather than on deriving a set of substantive underlying values for the profession of public administration" (deLeon, 1993 p. 293). It is the contention of this section that studying values as part of an ethics agenda will help public managers navigate the murky waters of ethics in the public realm. Please note that this section is advocating values research as a tool for understanding the unethical, not necessarily as something that can be manipulated.

The Study of Values

As part of preparing a paper, related to this dissertation, on the importance of studying values in ethics research for the American Society of Public Administration (ASPA) conference a separate investigation was launched to look for other articles about the study of values. In looking at the literature in which values had been the primary focus, it was discovered that *none* of the articles were from journals that typically are characterized as public administration journals. Although it is not truly in the scope of the larger dissertation project, it is interesting to find out how many articles had been published in recent years having to do with values and public administration and/or public management. A small-scale search was conducted. The results of this search can be found in Appendix A.

After looking at the articles listed in Appendix A, it was determined that values have not yet been studied in public administration in the way suggested, as a tool of understanding the unethical for public managers. There have been very few studies about values in public administration and they are generally not tied to ethics research nor are they necessarily used as a tool for understanding the unethical.

The Centrality of Values

So far this chapter has contended that values guide behavior. However, no definition of value has been given. There are a number of definitions that hint at the relationship between values and behavior including:

1. Values are "...the sense of what 'ought' to be, as distinct from what is. Values express judgments of taste, likes and dislikes and preferences, they have a practical character" (Schein, 1985 p. 15).
2. "To acknowledge some feature of things as a value is to take it into account in decision-making, or in other words to be included to advance it as a consideration in influencing choice and guiding oneself and other" (Blackburn, 1994 p. 390).
3. "A value represents a slogan capable of providing for the rationalization of action by encapsulating a positive attitude toward a purportedly beneficial state of affairs" (Rescher, 1969 p. 9).

In order to best explain value theory, the rest of this dissertation will work with the third definition in which values are seen as slogans that rationalize action. At the level of an individual, this means that behavior is explained or defended in reference to values. So, as the example above asserts, if someone were to ask a person why he/she was honest in a given situation, that person would reply saying that she/he values honesty. At the organizational level, organizational values become internalized by those within the organization (see institutional theory and organizational culture theory below) and individuals can then explain and defend their behavior within the organization in reference to those organizational values.

Much as institutional theory and organizational culture theory will suggest in the next section of this literature review, value theory asserts that values can be revealed in two ways.

> It is clear that value subscription can manifest itself in two easily distinguishable overt modes: First on the side of *talk* (or thought), in claiming that N subscribes to a value, we give grounds for expecting a certain characteristic type of verbal action, namely, that that he would "appeal to this value," both in the support or justification of his own (or other people's) actions and in urging upon others the adoption of actions and policies for acting. Moreover, in addition to such overt verbal behavior we would of course expect him to take the value into proper account in the "inner discourse" (*in foro interno*) of deliberation and decision-making...
> But second, on the other hand, we also expect the value to manifest itself on the side of *overt action.* We would draw back from saying that "patriotism" ("financial security," "the advancement of learning") is one of N's values unless he behaves in action – and not just at the verbal level – so as to implement the holding of this value by "acting in accordance with it" himself, by endeavoring to promote its adoption by others, etc" (Rescher, 1969 p. 2-3).

In other words, in appealing to value theory, we discover that values can manifest themselves in both speech and actions. For the study of values, this means we must not only study what people say they value, but also how they behave. For example, if an individual has internalized an organizational value, we can expect that she will both espouse and act in such a way that she exemplifies this value.

Value theory also supports the distinction between types of values, such as individual and organizational values. As Rescher explains,

> Perhaps the most obvious classificatory distinction regarding value relates to the *subscribership* to the value. Is the value held – or is it such that it ought to be held – by a person or by a group, and then what sort of group? Is the

> value (say, "self-esteem") put forward in the context of a discussion *of* Smith in particular, or *of* scientists in general, or *of* Paraguayans in general? Among what group of people is the value "at home" as it were; what is the appropriate setting? We correspondingly obtain such classificatory groupings as *personal* values, *professional*...values or *work* values, *national* values, etc." (Rescher, 1969 p. 14).

Using value theory, studying values can be broken down not only into verbal assertions and behavior but also into different categories of values. This research will be looking only at organizational values. This is not to suggest that other values do not play a role in understanding the unethical nor does it suggest that public managers need not be interested in the other realms of value if they want to understand the ethical climate of their organization. Rather, this thesis is only one building block in the understanding of the role values play, and much more research remains to be done by future investigators in this area.

One note should be made before moving on. This chapter is in no way supporting the values approach to public-sector ethics popularized in the Canadian Public Administration literature. The values approach "...argues that fostering core values and building an ethical culture is key for establishing a public service that acts ethically" (Langford, 2004 p. 47). The values approach has been rightly criticized for its vagueness. As Langford notes, those in support of the values approach seem to be confused about what values are and what to do when values conflict with each other. In opposition, this chapter merely asserts that an understanding of values is needed in order to understand the ethical and unethical within organizations. Far

from arguing that values should be fostered and manipulated, this dissertation contends that organizational values are dependent on many factors, one being the structure of the organization itself. The reason for making this point explicit is that although there are many scholars in the field studying the manipulation of values by public managers, this is a study about understanding the ethical climate of an organization. Whether organizational values can be successfully manipulated is still an active subject of study (Schwartz, 1994). The results of these inquires do not negate the importance of understanding what values are present within an organization - whether or not they can be manipulated.

Summary of Section One

Administrative ethics cannot be understood apart from values. As shown by value theory, values often guide individual's behavior in much the same way individuals are guided by traditional ethical resolution principles. By understanding how organizational values affect the decisions and behaviors of group members, public managers will have better tools for understanding and managing the ethical environment in which they work.

This dissertation will add to the larger ethics research agenda in public administration as laid out by Menzel (2005) and Cooper (2004). First, using value theory in combination with organizational theories from the public administration literature will not only lead researchers in efforts to study value, it will also begin to

build the bridge between ethics theory and public administration theory. Second, Cooper argues that organizations must be designed to support ethical conduct. The study of values is required for a complete understanding of employees within organizations and the ethical environment. If the structure of organizations plays a role in determining the organizational values held by employees, as tested by this dissertation, then the study of values is paramount to Coopers big question number three. Perhaps, the study of values can even help explain why some organizations seem to thwart ethical conduct by employees.

Section Two : Organizational Theories

The theory proposed above make values the phenomenon to be measured and studied. This section of the literature review will examine the placement of values in organizations and the nature of values within organizations. Specifically, institutional theory will be reviewed with respect to the internalization of organizational values. Organizational culture theory will be reviewed to explain the role and placement of values within organizations.

Institutional Theory

Elinor Ostrom observes that institutions are "…shared concepts used by humans in repetitive situations organized by rules, norms, and strategies…By norms, I mean shared prescriptions that tend to be enforced by the participants themselves through internal and external costs and inducements" (Ostrom, 1999 p. 37)

Institutionalization is "[t]he process through which components of formal structure become widely accepted, both as appropriate and necessary, and serve to legitimate organizations" (Tolbert & Zucker, 1983 p. 25). Institutions, then, may represent the shared belief systems of humans within organizations (arguably repetitive situations), while the process of internalization of beliefs and values is the process of institutionalization.[2]

Institutional theory can takes many different approaches to explain the transfer of belief systems. Sjostrand (1993) discusses four institutional approaches. In the first approach institutional theory is often considered a process of instilling value. A second approach looks at institutionalization as a social process in which individuals gain a shared perception of reality. The third looks at the internalization of "belief systems," while the final approach looks at the socially organized practices in various arenas within societies. Although the approaches are similar, the second and third approaches are especially relevant to understanding the internalization of belief systems within organizations.

Organizational culture (discussed in detail below) emphasizes the transmittal of beliefs and values as part of the basic assumptions of an organization. This transmittal happens unconsciously by individuals. "To speak of practices or

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[2] Tolbert and Zucker (1983) used the words "structure" in their definition of institutionalization. However, there is no reason to believe that they were making the distinction (discussed above) between culture and structure.

procedures that are continued and transmitted without question, to speak of meanings that become typified and transmitted to newcomers in the organization and shared without thought or evaluation, is to speak of the process of institutionalization" (Pfeffer, 1982 p. 239). As these beliefs are passed along, they begin to take the form of an unquestioned practice or a paradigm. "In the case of the focus of organizational paradigms, it was seen that the paradigm, once in place, constrains how new information is interpreted and indeed, once in place, whether new information is sought" (Pfeffer, 1982 p. 252).

Institutional theory also incorporates the components of culture and values. Sjostrand suggests "[p]erhaps one could look upon culture as a kind of raw material in the ongoing crystallizations of institutions in a society" (Sjostrand, 1993 p. 240). In regard to values, Selznick states that, "...values do have a central place in the theory of institutions. We need to know which values matter in the context at hand; how to build them in to the organization's culture and social structure; and in what ways they are weakened or subverted" (Selznick, 1996b p. 271). Other institutional theorists distinguish between values for internal use versus values for external use (Feldman & March, 1981; J. W. Meyer & Rowan, 1977; J. W. Meyer & Scott, 1983; Selznick, 1957). Pedersen and Sorensen (1989, p. 22) note that "Some values are for external use, they are highly articulated and everyone agrees with them, but they do not necessarily have any impact on the behavior of the members of the

organization." An interpretation of these statements may be summarized as follows: values may become institutionalized within a culture or an organizational structure. Some of these values are external, meaning that they do not affect the behavior of individuals within organizations. The relationship between culture, values, and internalization will be considered again in the section below on organizational culture.

One final point: The current argument, which asserts that belief systems are institutionalized within organizations, does not purport to suggest that organizations are identical with institutions.

> It is important to understand that *(formal) organizations are not identical with institutions*. On one hand, organizations are usually a manifestation of one dominant institution—or sometimes the arena for several competing ones. On the other hand, organizations simultaneously either reinforce, modify, or alter these institutions (Sjostrand, 1993 p. 11 emphasis in original).

One criticism of institutional theory is that it does not give a detailed explanation for how internalization of values takes place. A second criticism of institutional theory might come from institutional theorists themselves. In the last decade theorists have forwarded a "new institutionalism" that negates the rational-actor models of individuals within institutions and looks at institutions as independent variables. In other words, new institutionalism focuses on individual rather than organizational motives. Supporters argue that this new focus looks at cognitive and cultural explanations of individuals' behavior within institutions rather

than at rational-actor motives (DiMaggio & Powell, 1991). New institutionalism shifts the focus away from institutions themselves and toward relationships between organizations and sources of legitimacy and authority, material resources, and individuals. Fountain explains, "...the new institutionalism in political science and sociology represents the individual as a boundedly rational, culturally based "practical" actor who has economic as well as noneconomic goals ..." (Fountain, 1994 p. 271).

New institutionalism is inherently interdisciplinary. There are generally three accepted branches of new institutionalism: rational choice, organizational theory, and historical institutionalism. Of these three strains, organizational theory and historical institutionalism are most closely tied to public administration (Boschken, 1998; Brinton & Nee, 1998; Bulmer, 2003; DiMaggio & Powell, 1991; Immergut, 1998; Ingram, 2000; Kraatz & Zajac, 1996; Selznick, 1996a). In *The Theoretical Core of New Institutionalism*, Immergut (1998) argues that although the three strains of new institutionalism today do not have a shared framework, they do share a theoretical core. Immergut suggests that "old" institutionalism focuses on the power of the institution in shaping its climate as well as the behavior of individuals within the institution. New institutionalism, Immergut explains, examines the role of institutional elements in defining values, norms, interests, and beliefs. At the core of new institutionalism is the concern with figuring out what individuals want when

their preferences are affected by institutional contexts. All three strains share one characteristic:

> Rather than tackling this question by probing individual psychology, these scholars have turned to analyzing the effects of rules and procedures for aggregating individual wishes into collective decisions – whether these rules and procedures are those formal political institutions, voluntary associations, firms, or even cognitive or interpretive frameworks (Immergut, 1998 p. 12).

Although new institutionalism is valuable in that it offers a different lens through which to view institutions, it maintains similar claims to the traditional theory about the institutionalization process.

Organizational Culture

Organizational culture is frequently described in terms of shared meanings, patterns of belief, symbols, rituals, and myths that evolve over time and function as the glue that holds the organizations together (Baker, 1980; A Pettigrew, 1979). However, there is no widespread agreement over what culture comprises. Organizational culture has been classified as a hidden system that influences behavior (Deal & Kennedy, 1982), a system of shared values (Peters & Waterman, 1982), a set of norms and routines (Molin, 1987), and a system of accepted meanings and interpretations (A Pettigrew, 1979). It has also been linked to the "autonomic nervous system" (Roskin, 1986). Specifically, organizational culture is

> ...invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration – that has worked well enough to be considered valid and, therefore, to be taught to new

> members as the correct way to perceive, think and feel in relation to those problems (Schein, 1985 p. 9).

The explanation of culture within organizations is not all that different from the explanations forwarded by anthropologists and sociologists. "In society, culture involves the sharing of patterns of thought and their passage from generation to generation. In the corporation, this involves the sharing of assumptions and transmission of these components to new employees" (Isaac, 1993 p. 93).

The model of organizational culture used here was developed by Schein (1985), who advanced organizational culture as a three-tiered model made up of artifacts and creations, values, and basic assumptions. See Figure 3 below.

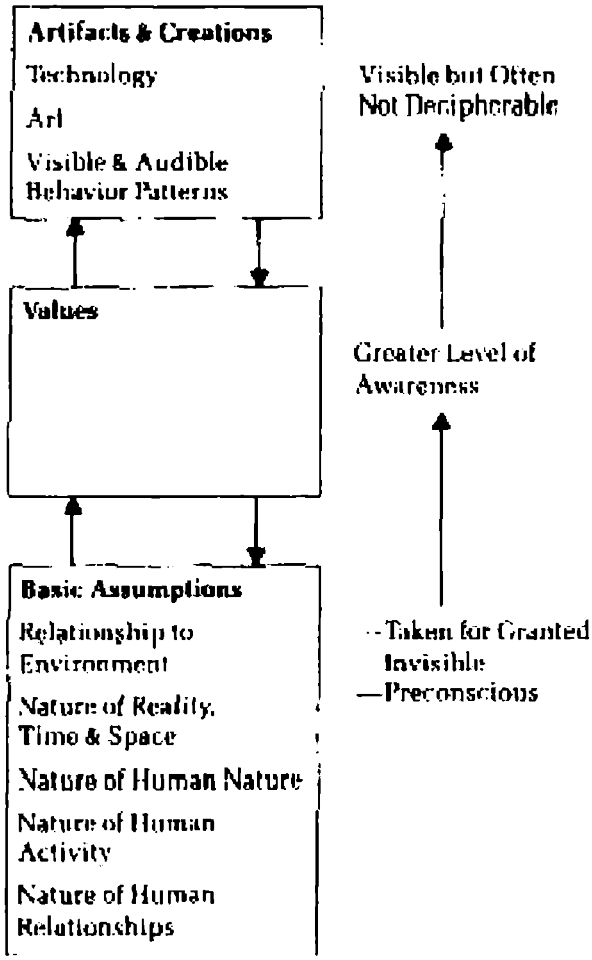

Figure 2.1 Schein's Model: Taken from Schein, E. H. (1984).

According to Schein (1984, 1985, 1996a, 1996b), culture exists simultaneously on three levels: On the surface are artifacts, underneath artifacts lie values, and at the core are basic assumptions. Assumptions represent taken-for-granted beliefs about reality and human nature. Values are social principles, philosophies, goals and standards considered to have intrinsic worth. Artifacts are the visible, tangible, and audible results of activity grounded in values and assumptions (Pedersen & Sorensen, 1989). It is at the bottom level, basic assumptions, where Schein believes culture truly lies.

Of the three components in Schein's model, artifacts are the most empirically visible. Artifacts are at the surface and can be studied by looking at buildings, symbols, etc. Although artifacts can tell us something about the organization's culture, the people within the organization are often not consciously aware of their meaning. Researchers should be careful when attributing significance to artifacts. It is difficult to tell, for example, if an open space amidst an office building promotes social mingling and cooperation or a way for the managers to watch over their employees (Pedersen & Sorensen, 1989).

The second level of the model is made up of values. "'Values' are characterized by being highly conscious and explicitly articulated due to their normative or moral function of leading members of the group in how to handle specific matters and behave in certain situations" (Pedersen & Sorensen, 1989 p. 15).

Values are made up of "...an individual's convictions, ideas and aspirations, which have not been considered widely enough to be considered valid solutions to problems" (Pedersen & Sorensen, 1989 p. 14). For example, if a manager emphasizes advertising as the solution to a drop in sales, employees will often also promote advertising without knowing if it is actually a solution to the problem. However, Schein notes,

> ...in identifying such values, we usually note that they represent accurately only the manifest or espoused values of a culture. That is they focus on what people say is the reason for their behavior, what they ideally would like those reasons to be, and what are often their rationalizations for their behavior (Schein, 1984 p. 3).

This disconnect between values and behavior seems to leave something out. "Large areas of behavior are often left unexplained, leaving us with a feeling that we understand a piece of culture but still to not have the culture as such in hand" (Schein, 1985 p. 17). In order to more fully understand culture, Schein believes we need to understand the underlying basic assumptions. When certain values repeatedly solve dilemmas, they become internalized and develop into basic assumptions.

> Basic assumptions are beliefs, values, ethical and moral codes, and ideologies that have become so ingrained that they tend to have dropped out of consciousness. They are unquestioned perceptions of truth, reality, ways of thinking and thinking about, and feeling that develop through repeated successes in solving problems over extended periods of time. Important basic assumptions are passed on to new members, often unconsciously (Ott, 1989 p. 47).

As noted, basic assumptions are often not consciously held by individuals in an organization. Schein argues, however, that basic assumptions certainly influence the behavior of individuals within organizations. "The organizational culture school...assumes that many organizational behaviors and decisions are almost predetermined by the patterns of basic assumptions existing in the organization.... They become the underlying, unquestioned—but virtually forgotten—reasons for 'the way we do things around here,' even when the ways are no longer appropriate" (V. H. Ingersoll & Adams, 1994 p. 3). These assumptions are made up of many different aspects including beliefs, attitudes, and viewpoints. Values are only one aspect of basic assumptions. Schein explains,

> These assumptions and beliefs are learned responses to a group's problem of survival in its external environment and its problems of internal integration. They come to be taken for granted because they solve those problems repeatedly and reliably (Schein, 1985 p. 20).

As noted in institutional theory, above, there is often a difference between what a person does and what a person says. The institutionalists called these internal and external values. Schein, as well as other organizational culture theorists (Argyris & Schon, 1978; Ott, 1989; Pedersen & Sorensen, 1989) also make this differentiation. They call these "espoused values" and "values-in" (Pedersen & Sorensen, 1989; Schein, 1985). *Espoused values* are the values found at the level of 'values' in Schein's model. These are the values that members of an organization regularly articulate and promote. "That is to say, normative statements, which will

mainly predict how people say they will behave in certain situations and nothing about what they actually do when the situations occur" (Pedersen & Sorensen, 1989 p. 15). *Values-in* are found at the level of "basic assumptions" in Schein's model. Values-in are the unconsciously held values that have worked at solving problems in the organization and that covertly influence the behavior of individuals. "To get into a deeper level of understanding, to decipher the pattern, to predict future behavior correctly, one has to fully understand the category of 'basic assumptions'" (Pedersen & Sorensen, 1989 p. 15).

> For example, many organizations espouse "team-work" and "cooperation," but the behavior that incentive and control systems of the organization reward and encourage is based more on a shared tacit assumption that only individuals can be accountable and that the best results come from a system of individual competition and rewards (Schein, 1996b p. 11).

Organization culture should always be studied in reference to a group (Schein, 1984, 1996a). "There cannot be a culture unless there is a group that owns it. Culture is embedded in groups, hence the creating group must always be clearly identified" (Schein, 1984 p. 5). Since organizations can have many different sub-units; there may be numerous cultures within an organization. In fact, Schein differentiates between management cultures based on task. In one article he describes the culture of engineering, the culture of CEOs and the culture of operators. He concludes, "...getting cross-functional project teams to work well together is difficult because the members bring their functional cultures into the

project and, as a consequence, have difficulty communicating with each other, reaching consensus, and implementing decisions effectively" (Schein, 1996b p. 12).

Past researchers have looked at organizational culture in numerous ways. While there are some authors who argue that culture can be manipulated by public managers (Baker, 1980; V. H. Ingersoll & Adams, 1994; Isaac, 1993; Ott, 1989), others have used organization culture as a tool for understanding. Schein argues that culture can be understood so that is can be maneuvered (1985). Other authors see culture more as a way to understand organizations. Khademian (2000b) reminds readers that organizational culture is to be used as means to understand the context, such as values, structure, and archetype. Pedersen and Sorensen (1989) also shared this view of culture. They claim they hold the "native view" of organizations, explaining that the native view "...is less enthusiastic about the managing of cultures. Instead, it focuses on everyday-life aspects of cultures in the organization" (1989 p. 20). This author also ascribes to the view that organizational culture is a tool of understanding.

Although this thesis examines culture in terms of values, a similar study looked at the relationship between structure and archetype (Hinings et al., 1996). An archetype is a set of ideas, beliefs, and values connected to structures and systems. Hinings et al hypothesize the elite in an organization will hold the values of the archetypal form, that when there is no archetypal form; there will be no clear

relationship between the values and the structure; that there will be unanimity of values among the elite when the archetypal form is present; and that when there is no archetypical form, there will be no unanimity of values. They find some support for the connection between values and archetype.

One glaring issue that stands out when reading about organizational culture is that it is perhaps a simplistic account of a very complex phenomenon. This is exactly what Hatch (1993) suggests about the dynamics of organizational culture: that Schein's model is too simplistic to capture the richness of organizations culture. In its place, she suggests a model that is better able to capture the richness involved. Hatch adds symbols to the basic components of the model and then adds the dynamics of manifestation, realization, symbolization, and interpretation. She also makes the process circular. See Figure 2.2 below.

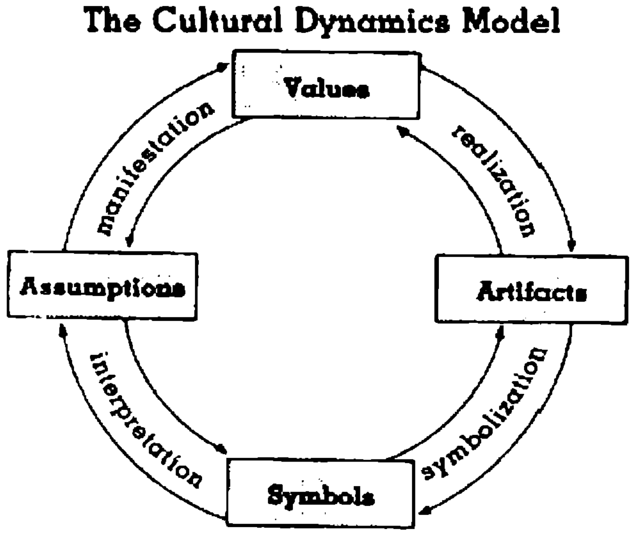

Figure 2.2 Hatch's Model: Taken from Hatch, M. J. (1993).

Manifestation is the "…process through which an essence reveals itself, usually via the senses, but also through cognition and emotion"(Hatch, 1993 p. 662)). Above, artifacts were described as tangible. It is realization that leads to tangibility. "In general terms, to realize something is to make it real…" (Hatch, 1993 p. 665). Symbolization refers to the underlying meaning associated with an act or symbol (i.e. what it means to me), and interpretation is the way that this meaning is brought out. Hatch bases her meaning of the word interpretive in the interpretive tradition (Schultz, 1977). She believes that this model of organizational culture should be preferred. She writes,

> The advantage of a dynamic version of organizational culture theory lies in the new questions it poses. Schein's view focuses on what artifacts and values reveal about basic assumptions. In contrast, the dynamic perspective

asks: How is culture constituted by assumptions, values, artifacts, symbols, and the processes that link them (Hatch, 1993 p. 660)?

Summary of Section Two

In the introductory section, it was noted that organizational theory delineates two aspects of organizations, structure and culture. Institutional theory takes this one step further by showing how components of formal structure can become internalized. When these components of structure are transmitted and continued without question, they are said to be institutionalized. Values are also transferred in this way. Institutional theory also distinguishes between internal and external values. Organizational culture theory shows how these values can be perceived on three different levels. Espoused values are the values that people in the organization talk about, and values-in are those that have become basic assumptions and which guide behavior unconsciously. This research seeks to uncover the relationship between structure and values, to measure whether values are, in fact, institutionalized and whether they have become part of the organizational culture.

Part Three: A Search for Empirical Research

The first part of this section will focus on how the work of Thompson and Tuden (1959) has been utilized by scholars in organizational studies. The last part of this section will concentrate on the empirical study of organizational culture.

Thompson and Tuden (1959)

As noted in the introductory chapter, this project - and the specific theory being tested - are based on the work of Thompson and Tuden (1959). Since this early work is not considered a classic in the study of organizations, the Social Science citation index was searched for other projects that cited it. Although their 1959 (reprinted in 1964) work on the *Strategies, Structures, and Processes of Organizational Decision-Making* was cited numerous times, the majority of these citations referenced them only cursorily. In other words, often they were cited after a sentence about structure or decision-making, but their work was not examined in detail, nor did it provide the basis for follow-on research. For this reason, literature that used Thompson and Tuden (1959) as a significant part of their paper or research was searched for. Five articles that fit this criterion were found. Four of the articles were theoretical and the fifth was an empirical test of constructs derived from their 1959 work. These five articles will be reviewed below in order of the year in which they were published.

Accountability in a 'Reinvented' Government (deLeon, 1998)

Linda deLeon uses Thompson and Tuden (1959) to examines accountability of public officials in light of the movement to reinvent government. She writes, "Whether 'reinvented' government implies worker empowerment, increased managerial discretion, or decentralization, it is widely thought to diminish accountability" (1998 p. 539). DeLeon's main contention is that accountability must be re-defined in the age of reinvention. She compares Romzek and Dubnick's (1987, 1994) categories of accountability relations with Thompson and Tuden's (1959) framework for organizing organizational structures. Romzek and Dubnick (1991) "...separate four kinds of accountability according to whether the *source of control* is (a) internal or (b) external, and whether the *degree of control* is (c) tight or (d) loose" (deLeon, 1998 p. 542). What their analysis leaves out, according to deLeon, is "participation in decision making as an important method for achieving accountability" (1998 p. 543).

DeLeon next utilizes the Thompson and Tuden (1959) model to demonstrate that there are different sorts of problems that organizations face due to their decision-making structures, and that these different problems and structures require different notions of accountability. She details each of the *computational, majority judgment, compromise* and *inspiration* structures and suggests "...that appropriate organizational structures are entirely a function of objective conditions – goal clarity,

and knowledge of cause and effect" (1998 p. 545). Accountability for each of these structures, in turn, takes on a different form. Bureaucratic accountability accompanies computational structures and occurs when "...strict accountability to rules and close monitoring by hierarchical superiors is possible and where decisions can be entirely codified in standard operating procedures" (deLeon, 1998 p. 547). However, as explained by Thompson and Tuden, this type of computational structure exists only when goals are agreed upon and the means of achieving those goals are known by members of the organization. This is often not the case. DeLeon goes on to explain accountability types appropriate for the other structures delineated by Thompson and Tuden (1959). Political accountability is called for in organizations with a compromise structure, where the desired goals/outcomes are not agreed upon, but where the means to achieve each of the goals is clear. Political accountability requires that members of organizations play by the rules.

> Political accountability as a mechanism *internal* to the organization, a way of controlling the actions of individual employees, functions much the same as it does at the institutional level. Political appointees to a public agency serve at the pleasure of the appointing authority and may be dismissed if they are not responsive to its programmatic goals (deLeon, 1998 p. 548 emphasis in original).

Likewise, professional accountability involves internal mechanisms of control. Professional accountability is warranted in organizations with a majority judgment structure in which the goals of the organization are known and agreed upon, but where the means of achieving them is not. "Professional workers in governmental

organizations, that is, are treated with deference, which is due to their expertise, by their clients (the public)" (deLeon, 1998 p 548). The final kind of accountability described by deLeon is anarchic accountability and, as she notes, it is the oddest kind. Anarchic accountability can be found where there is no agreement on goals or the means of achieving them.

> Both as an institutional process and as one internal to organizations, anarchic accountability requires incorporating clients and constituents, competitors, and overseers, suppliers and interested citizens into the decision making process of public policy formation and program administration, blurring the boundary between the organization and its environment (deLeon, 1998 p. 552).

What do different kinds of accountability mean for those concerned with accountability during the era of reinvention? "Perhaps the clearest conclusion that can be drawn from this analysis is that different accountability mechanisms are appropriate in different circumstances..." (deLeon, 1998 p, 553). Using Thompson and Tuden, deLeon draws attention to different types of accountability that accompany different organizational structures. This should lead scholars in the field to consider what type of accountability is relevant to the situation at hand.

In summary, accountability is not inconsistent with administrative reform; neither entrepreneurial experiments nor increased discretion for professional managers need result in diminished accountability. What they do require is

accountability of a non-bureaucratic kind, and mechanisms tailored as much as possible to the type of decisions and structures being taken into account (deLeon, 1998 p. 555).

Foundations of Strategic Decision Effectiveness (Harrison & Pelletier, 1998)

Harrison and Pelletier use Thompson and Tuden (1959) as part of a model for strategic decision-making for managers. "The article posits that the effectiveness of a given organization may be ascertained from the effectiveness of the strategic decisions made by its senior executives" (Harrison & Pelletier, 1998 p. 147). Harrison and Pelletier go on to argue that "If decision making at the top of the organization is less than effective, then the choices made at the lower levels of management will doubtlessly follow suit" (1998p. 147). They go on to develop a model for strategic decision-making that includes environmental and organizational assessment, strategic gap analysis, decision specific factors, managerial attitudes, managerial decision-making processes, and assessment of the effectiveness of strategic decision outcomes (see figure 2.3 below).

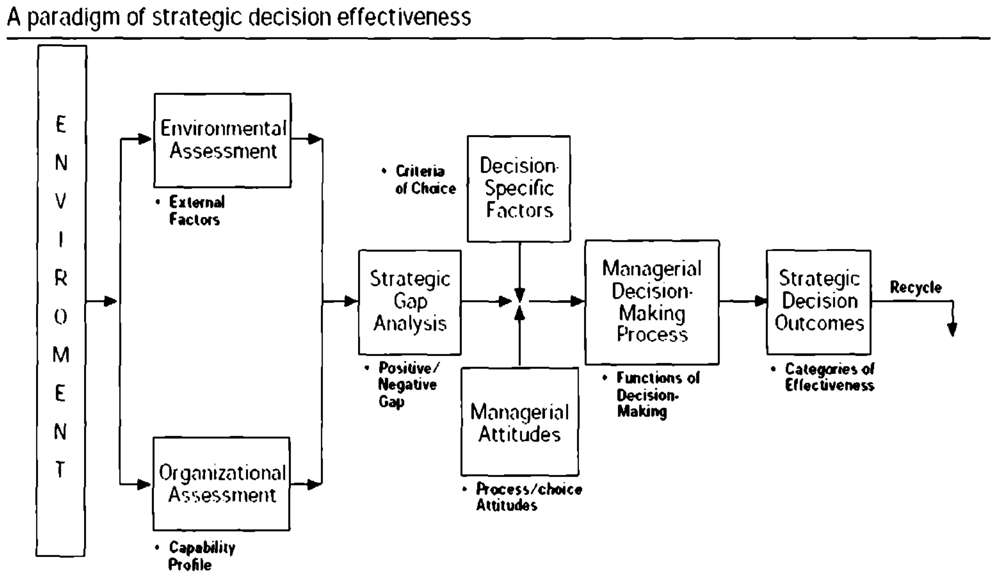

Figure 2.3 Harrison and Pelletier's Model: Taken from Harrison, E. F. and M. Pelletier (1998).

Harrison and Pelletier draw on the work of Thompson and Tuden (1959) in the "managerial attitudes" component of their strategic decision effectiveness model. They contend that "Two primary managerial attitudes are of concern here: (1) attitudes toward the decision-making process; and (2) attitudes toward the strategic decision itself" (1998 p. 153). They call on Thompson and Tuden to explain attitudes toward the decision itself. Harrison and Pelletier explain the four-fold table about goals and means in Thompson and Tuden's work. They outline how there are two facets of decision-making based on the preference of given outcomes and information on how to achieve those outcomes. Harrison and Pelletier explain how strategic decisions are needed most in the judgmental decision-making strategy,

which they also call the most effective of strategic choices. They go on to explain why computational decisions are not considered strategic:

> There are times, however, when a decision maker presumes to know enough about a given outcome to attempt an optimal alternative or one that will result in the highest possible level of attainment for the strategic objective. This approach to decision making is called computational decision making strategy and, because of its simplistically quantitative emphasis, it seldom results in an effective strategic choice (Harrison & Pelletier, 1998 p. 154).

In short, Harrison and Pelletier argue that managers in the position of making strategic choices for their organization should be aware of where they fall on the Thomson and Tuden matrix in order to make the most effective decision. "A reality-based focus by management on its own attitudes toward the decision-making process set forth in this article as well as the nature of the decision itself seems certain to upgrade the effectiveness of the organization's strategic decisions"(Harrison & Pelletier, 1998 p. 157).

Improving Control in Water Management(Verbeek & Wind, 2001)

Verbeek and Wind inform us that "Water management steers a middle course between control and chaos" (2001 p. 403). They appeal to Thompson and Tuden's (1959) work to develop four distinct types of water control management based on conditions of control. The Thompson and Tuden matrix is used to construct what the authors call the integrated, sustainable, and interactive (ISI) water management approach. The authors note that water control has become ever more important in an era where environmental sustainability is crucial to all of western society.

Verbeek and Wind believe that water managers must be aware of both the political and technical dimensions of policy making in water management. They list the technical dimension as "The extent to which objectives and impacts of measures are clear" and the political dimension as "The extent to which objectives and impacts of measures are accepted by the actors involved" (Verbeek & Wind, 2001 p. 407).

Using Thompson and Tuden (1959), they develop four types of policy making characterized by policy design (clarity of measures) and gaining support (accepted by actors) and in doing so develop the following matrix (see figure 2.4 below).

		Acceptance by actors involved in the policy making process	
		(possible) objectives and impacts of measures accepted	(possible) objectives or impacts of measures not accepted
Knowledge of actors involved in the policy making process	(possible) objectives and impact of measures clear	Take a (formal) decision ❶	Important activities: – gaining support Less important activities: consistent policy design ❸
	(possible) objectives or impacts of measures not clear	Important activities: – consistent policy design Less important activities: – gaining support ❷	Important activities: – consistent policy design as – well as gaining support ❹

Figure 2.4 Verbeck and Wind's Model: Taken from Verbeck, M. and H. G. Wind (2001).

Verbeek and Wind argue that problems are sure to occur if their typology is not taken into account. The explain,

> Type 1 occurs when objectives and impacts of measures are clear and accepted by the actors involved. In that case only a (formal) decision taken before the policy can be implemented. In the case of type 2 there is a shortage of acceptance. In such a situation it is important to gain the support of decision makers and other relevant actors in society. Activities aimed at gaining support (consultation, public relations, negotiation) are emphasized. With type 3 it is the other way around. This situation occurs if the problem ...is not yet clear. In that case it is most important to fulfill the condition of designing a consistent policy...Policy making type 4 is the most difficult to implement. In this situation the objectives and impacts of the measure are not yet clear (2001 p. 408-410).

Verbeek and Wind believe that understanding their model developed above is paramount for the success of the ISI water management approach. They believe that "The ISI approach can be seen as a diagnostic instrument with which it is possible to access policy making processes in advance, during the process, and afterwards" (Verbeek & Wind, 2001 p. 420). Furthermore, they suggest that this model, based on earlier work of Thompson and Tuden, will bring some order to the world of chaos that is now water management.

Cultures of Public Policy Problems (Hoppe, 2002)

Hoppe offers a theoretical perspective on the framing and structuring of policy problems using Thompson and Tuden (1959) and Douglas and Wildavsky (1983). He maintains that policy problems are a function of what policy makers choose to focus on and identify and how they choose to think about those problems.

Hoppe expands on the work of Douglas and Wildavsky in which they developed grid-group Cultural Theory (gg-CT). Hoppe uses Thompson and Tuden to expand on the work of Douglas and Wildavsky. Like many of the authors above, he produces a four-fold table to help explain his work (see figure 2.5 below).

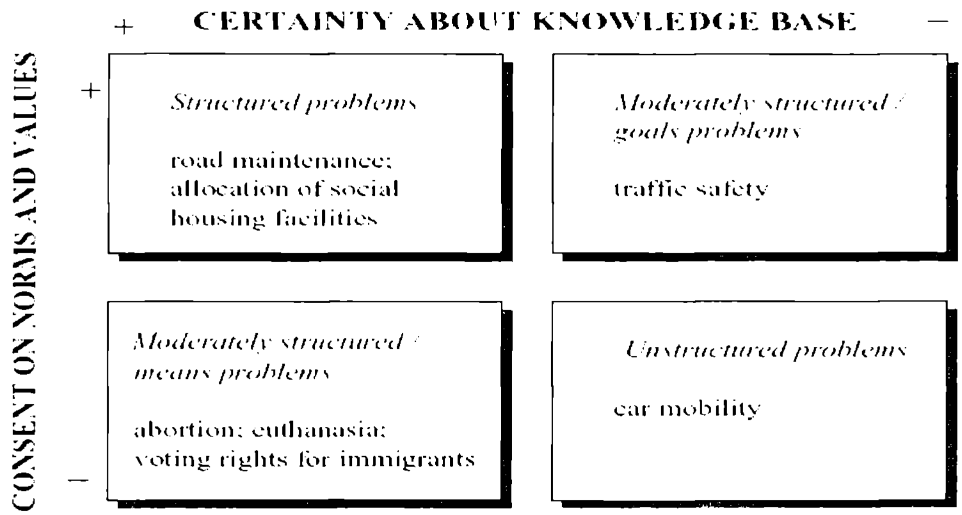

Figure 2.5 Hoppe's Model: Taken from Hoppe, R. (2002).

The figure above shows how Hoppe relies on Thompson and Tuden (1959) to delineate dimensions of policy problems. He believes that the typology above has two clear advantages in empirical research on policy problems. "First, in a given policy formation and adoption process, we may observe whether or not a (group of) policymaker(s) display(s) consistently patterned problem definition behavior" (p 310). "Second, focusing on government policymakers, an analyst could try to establish whether official problem definitions remain stable over time…" (p. 310).

Hoppe moves on to explain how each of the four categories in the table above can be used to understand the course of a policy problem. His first category is titled "*Heirarchists: Structure It!*" (p. 311) and is related to the computational model of Thompson and Tuden (1959). Hoppe elucidates,

> Given this orientation in worldview, the hierarchist's rationality is functional and analytic. It is functional in the sense of starting from a supposedly agreed-upon objective, on the basis of which the most effective and efficient means is worked out. It is analytic in the sense that problem solving is considered an intellectual effort best left to experts (Hoppe, 2002 p. 312).

The second category outlined by Hoope is called "*Isolates: Surviving Without Resistance*" (p. 314) and is related to Thompson and Tuden's (1959) inspirational model. He explains,

> The isolate, whether fatalistically inclined or more optimistic, will be predisposed to define any problem as unstructured. Believing that the world is a lottery and the social world is an unstable casino, he will be extremely reluctant to impose any defining frame on a problematic situation (Hoppe, 2002 p. 315).

Hoppe's third category is the "*Enclavists: It's Not Fair!*" (p. 315) group. The Enclavists may be neatly aligned with the compromise judgment model as summarized by Thompson and Tuden (1959). Hoppe argues that this group holds a "communicative form of value rationality." (p. 316).

> It is communicative because verbal means of persuasion, from public debate to speeches to propaganda campaigns, are the only allowed means of creating consent among equals. It is value rational, in the sense of normative standards and goal-finding being the major issue of problem solving efforts, because the mix of inside moralism and outside criticism makes enclavists

> never miss an opportunity to point out the value conflicts between "us" and "them" (Hoppe, 2002 p. 316).

The final category developed by Hoppe is titled "*Individualists: Let's Make Things Better*" (p. 317) and may be compared with the majority judgment model of Thompson and Tuden (1959). In the Individualist's camp "…problems are opportunities for improvement. Defining a problem means framing it as a choice between two or more alternatives" (Hoppe, 2002 p. 318).

Hoppe believes that by appealing to these four categories policymakers and analysts can have a shared understanding when structuring or re-framing policy problems. The model "…shows that there is a straightforward match between cultural ideal-types and policy problem type" (Hoppe, 2002 p. 319) and this is what can lead to greater understanding of policy problems.

Selecting Decision Rules for Crucial Choices:(Nutt, 2002)

Nutt is the only author to use the Thompson and Tuden's (1959) model as part of an empirical research study. Unfortunately Nutt's analysis is not a direct test of the model. Nutt empirically tests a set of decision rules developed by Thompson (1967b) that were based on the 1959 decision matrix of Thompson and Tuden. Nutt includes a table to help readers understand the relationship between the decision matrix and the decision rules (see figure 4 below). "Using the new terms [developed by Thompson in 1967], a decision maker is called upon to match a decision rule to a

decision task, defined by whether means and ends are known or unknown…"(Nutt, 2002 p. 101).

Procedural Knowledge (means)

		Known	Unknown or Unknowable
Criteria to Judge Performance (ends)	Known	Optimality test	Satisficing test
	Unknown or Unknowable	Instrumental test	Social test

Decision Rules	ILLUSTRATIVE PRACTICES
Optimality test	Fine tune procedure with experiments or simulations and compare before and after performance criteria to identify the best strategic choice.
Satisficing test	Compare criteria that measure the performance of available alternatives to expectations based on norms taken from that attainable by others, scenarios, or the literature, selecting the strategic option that comes the closest to meeting these expectations.
Instrumental test	Compare available alternatives according to their feasibility, demonstrating that a preferred alternative has the best chance of working to overcome resistance when arguing for a strategic choice.
Social test	Compare available alternatives to what respected organizations have done to find the option that most nearly follows these practices to argue for a strategic choice.

Figure 2.6 Nutt's Model: Taken from Nutt, P. C. (2002).

Nutt attempts to test these decision rules by investigating the success attained when Thompson's decision rules were or were not adhered to in over 300 strategic decisions. The four decision rules in the figure on p. 66 are called the instrumental, satisfying, optimality, and social tests by Thompson (1969). Nutt's hypotheses are as follows:

> Hypothesis 1: Decisions are more apt to be successful when strategic choices are made using decision rules that recognize available knowledge indicating procedural clarity and the ability to measure performance (p. 103).
>
> Hypothesis 2: The prospects of success will decline when overly stringent decision rules are applied (p. 104).
>
> Hypothesis 3: The prospects of success will decline when decision rules are too weak (p. 104).
>
> Hypothesis 4: The prospects of success will improve when the most powerful decision rule is used to make a strategic choice (p. 105).

To test these hypotheses Nutt makes a database of 376 strategic decisions. "To get access to the decisions, people holding key positions in organizations were asked to participate in a study of strategic decision making" (Nutt, 2002 p. 106). Participants were told that a decision was "...an episode beginning when an organization first became aware of a motivating concern and ending with an implementation attempt. Trying again after a failure was considered a new attempt" (Nutt, 2002 p. 106). Nutt collected data using interviews and questionnaires. "The interviews were used to identify the steps taken to make a decision, and questionnaires were used to determine values for success indicators and other factors

not considered here" (Nutt, 2002 p. 106). The author also used secondary informants to corroborate information obtained from primary informants. Nutt examined the interview data to search for decision rules that were used and also for the context of the decision (i.e. which of Thompson and Tuden's categories were present in terms of the clarity of goals and means). To identify the success or failure of a decision, he measured the value, timeliness, and adoption of the decisions under investigation.

"Following Thompson's (1967) prescriptions to select a decision rule was found to be highly desirable, significantly increasing the prospects of success. This calls for decision makers to carefully explore the decision task…" (Nutt, 2002 p. 127). As Nutt notes, however, there is still much empirical work to be done on testing this theory, especially the area of social tests. Nutt describes, "Used appropriately, social tests preformed well above expectations, producing some of the better success stories found in the study. This may be an artifact of the relatively small number of cases in the database that correctly used this decision rule" (Nutt, 2002 p, 127). Much more analysis of all of the decision rules, and indeed the Thompson and Tuden matrix itself, is still needed.

Organizational Culture

A general theoretical model of organizational structure was presented in the section above. This theory may help guide value research in public administration. Both espoused and values-in, (for the remainder of the study the latter will be

referred to as latent values) are part of organizational culture. Several journal articles will be reviewed in which organizational culture, or constructs of organizational culture, are measured empirically. Several questions guided the investigation for empirical research on organizational culture including: (1) How has organizational culture been studied; (2) What elements of organizational culture have researchers focused on and; (3) how have they measured these elements? There are several articles that attempted to empirically test organizational culture. They will be reviewed in the order they were published (see Table 2.1 below for a summary of these articles).

Organizational Culture and Work Group Behavior (Amsa, 1986)

Amsa (1986) examines organizational culture and work group behavior in Ahmedabad India, specifically, the relationship between culture and loitering by loomshed workers. At the time of the study, there were approximately 65 mills in Ahmedabad, both public and private. Some of the mills experienced a problem with workers loitering while others did not. Asma wanted to see if the difference in loitering was due to a different organizational culture. As part of the study, two high loitering mills (HLM), one private and one public, and two low loitering mills (LLM), one private and one public, were chosen to participate. Loitering was of particular concern because workers not attending to their jobs decreased the mills' efficiency.

> The typical weaver is assigned a set of four looms...The non-automatic looms stop when the bobbin is empty and the bobbin has to be removed and replaced by hand. The actual hand operation, shuttling, is a short one taking only approximately 20 seconds. It occurs at intervals of from three to ten minutes, depending on the amount of yarn which can be wound on the bobbin. This requires that the looms remain under constant observation by the weaver (Amsa, 1986 p. 349).

Amsa used open-ended interviews and observation to gather ideas of organizational culture that might be related to loitering. A structured interview schedule was developed based on the interviews and observations. The aspects of culture that were measured were worker beliefs (about workload, the cost of loitering to workers, and managerial concern about loitering), values (the desirability of discipline), norms (appropriate job behavior), and tradition (the history of loitering at the organization). Respondents were asked to respond to statements about the variables above on a binary yes/no scale. Respondents were also asked to respond with the answer they felt was the opinion of the majority of their co-workers, as opposed to personal opinion. In the high-loitering mills, the majority of workers believed that their supervisors were not genuinely concerned about either production or the workers. An attitude of apathy coupled with powerlessness and helplessness prevailed among the supervisory staff. On the other hand, the low loitering mills in the public sector presented a different cultural profile. Here the workers believed that supervisors in general were somewhat concerned about production and the worker's problems (Amsa, 1986 p. 355).

Measuring Organizational Cultures: A Qualitative and Quantitative Study Across Twenty Cases (Hofstede et al., 1990)

Hofstede et al. (1990) undertook a huge project in an attempt to develop a measure of organizational culture. They report "...the results of a study on organization cultures in twenty units from ten different organizations in Denmark and the Netherlands" (1990 p. 286). Three categories of questions guided their research.

> First, can organizational cultures be "measured" quantitatively, on the basis of answers of organizational members to written questions, or can they only be described qualitatively? In operational terms, the issue is whether membership in one organization rather than another explains a significant share of the variance in members' answers to questions dealing with culture-related matters. Our hypothesis was that it would.
>
> Second, if organizational cultures can be measured in this way, which operationalizable and independent dimensions can be used to measure them, and how do these dimensions relate to what is known about organizations from existing theory and research? Our hypothesis was that the analysis would produce a discrete number of independent dimensions and that these dimensions should correspond to issues covered in the organizational literature, since it was unlikely that we would find aspects of organizations that nobody had discovered before.
>
> Third, to what extent can measurable differences among the cultures of different organizations be attributed to unique features of the organization in question, such as its history or the personality of its founder? To what extent do they reflect other characteristics of the organization, like its structure and control systems, which in themselves may have been affected by culture? To what extent are they predetermined by given factors like nationality, industry, and task? Our hypothesis was that organizational cultures are partly predetermined by nationality, industry, and task, which should be visible in significant effects of such factors on culture dimension scores (Hofstede et al., 1990 p. 287).

In order to answer their questions, they focus on a range of 10 work organizations in Denmark and the Netherlands consisting of twenty units total. They explain, "Twenty units was a small enough number to allow studying each unit in depth, qualitatively, as a separate case study. At the same time, it was large enough to permit statistical analysis of comparative quantitative data" (Hofstede et al., 1990 p. 289). Hofstede, Neuijen et al. conducted the study in three phases. First, they conducted in-depth interviews to develop items for a questionnaire. Second, they administered the questionnaire of 135 pre-coded questions to a random sample of members from each unit. "In the third phase, [they] used questionnaires, followed by personal interviews, to collect data at the level of the unit as a whole on such factors as its total employee strength, budget composition, key historical facts, or demographics of its key managers" (Hofstede et al., 1990 p. 290). The questionnaire developed by Hofstede et al. aimed to collect information on four manifestations of culture including symbols, heroes, rituals, and values. The authors note that the first three of these fall under the common label of "practices" while values stood alone. Their variables included work goals, general beliefs, perceived decision-making styles, one's work situation, typical behavior of individuals, promotion and dismissal, gender, age group, seniority, and educational level. All of these, except for the demographic variables, were measured using a five-point scale. The results of the Hofstede et al. study show that

> For all 135 survey questions, without exception, unit mean scores differed significantly across the 20 organizational units. However, the 57 questions dealing with values tended to produce smaller differences between units than the 74 questions dealing with perceived practices (Hofstede et al., 1990 p. 296).

In fact, all three of their hypotheses were supported. One interesting discovery they made was that the practices of an organization seem for central to the culture than its values. They write,

> This study, however, empirically shows shared perceptions of daily practices to be the core of an organization's culture. Our measurements of employee values differed more according to the demographic criteria of nationality, age, and education than according to membership in the organization per se (Hofstede et al., 1990 p. 300).

It should be noted however, that their measurement of values was clearly most closely aligned with the middle level values of Schein's model (i.e. espoused values). Hofstede, Neuijen's et al. did not try to measure the basic assumptions of the members of the organizations, which may have yielded different result in terms of values.

Organizational Culture and Employee Retention (Sheridan, 1992)

Sheridan examines the relationship between organizational culture and employee retention through studying whether or not organizational values help or hinder productive employees. His hypotheses are as follows:

> Hypothesis 1: Organizational cultural values will have a significant influence on retention rates, after the exogenous effects of labor market factors and employee gender and marital status have been accounted for.

> Hypothesis 2: An employee's job performance will significantly interact with organizational culture values in influencing retention rates. The difference in retention rates in strong and weak performers will vary significantly depending on the cultural values of an organization, after the exogenous effects of labor market factors and employee gender and marital status have been accounted for (Sheridan, 1992 p. 1038).

To test these hypotheses, Sheridan studied the employee of six international accounting firms in one large mid-western city. His focus was on 904 recent graduates. During the course of his study, 315 left their job voluntarily, 108 were dismissed, and 18 new graduates were hired. At the end of his study 463 individuals were still actively employed.

As a background of organizational culture values Sheridan employed measures developed by O'Reilly et al. (O'Reilly *et al.*, 1991) and expounded on by Rousseau(1990a) about "values and norms regarding (1) the completion of work tasks, (2) interpersonal relationships, and (3) individual behavior"(Sheridan, 1992 p. 1039). Respondents were asked to q-sort dimensions of culture based the Organizational Cultural Profile (OCP) developed by O'Reilly. Work task were broken down into variables of detail, stability, and innovation. Interpersonal relationships were broken down into variable of team orientation and respect for people and individual behavior was measured with outcome and aggressiveness variables. Sheridan also collected retention data and performance data on each of the participants directly from each firm. Finally he gathered information on the final

college GPA and salary of each participant along with marital status. Sheridan's results show,

> Professionals hired in firms emphasizing the interpersonal relationship values stayed 14 months longer than those hired in firms emphasizing work task values. This large difference in voluntary survival rates has important consequences for organizational effectiveness (Sheridan, 1992 p 1050).

Perceptions of Organizational Culture and Women's Advancement in Organizations: A Cross-cultural Examination (Bajdo & Dickson, 2001)

Bajdo and Dickson examined the relationship between women's advancement and organizational culture by looking at data from the Global Leadership and Organizational Behavior Effectiveness Research Project (GLOBE), a cross-cultural study of societal culture, organizational culture, and leadership. The authors argue that organization cultures have tended to have been shaped by men and therefore reinforce a hierarchy, independence, and top-down management as opposed to interpersonal relationships and the sharing of power. Their hypotheses were as follows:

> 1a. The percentage of women in management will be positively related to organizationally shared values reflecting Humane Orientation, Gender Equity, and Performance Orientation.
>
> 1b. The percentage of women in management will be negatively related to organizationally shared values reflecting Power Distance.
>
> 2a. The percentage of women in management will be positively related to organizationally shared practices reflecting Humane Orientation, Gender Equity, and Performance Orientation.

> 2b. The percentage of women in management will be negatively related to organizationally shared practices reflecting Power Distance.
>
> 2c. The Gender Equity aspect of culture will account for more variance in the percentage of women in management than will the other aspects of organizational culture (Bajdo & Dickson, 2001 p. 402).

The data Bajdo and Dickson analyzed had already been collected by the GLOBE research studies. After sorting though the data to eliminate organizations with less than 15 employees, the authors were left with a data set of 3,544 individuals from 114 organizations in 32 countries. Bajdo and Diskson explain, "organizational culture is operationally defined by measures reflecting the agreement among members of each organization with regard to (1) the organization's values and beliefs and (2) by the commonality of reported practices within the organization" (Bajdo & Dickson, 2001p. 405). Respondents were asked to indicate norms, values, and practices that they believe should be a part of their organization. The variables included performance orientation (the degree to which members are rewarded for performance), humane orientation (the degree to which the organization encourages nurturing behavior), power distance (the degree to which members accept an undistributed balance of power) and gender equality (the degree to which members value women in nontraditional roles) were also included in the study. Their findings denote:

> The results of this study indicate that characteristics of organizational culture typically associated with women are related to opportunities for women in management. In particular, organizational cultural practices reflecting high

humane orientation, high gender equity, high performance orientation, and low power distance are related to women's advancement in organizations. Further, organizational values emphasizing high humane orientation and high gender equity are also related to women's advancement. Relatively speaking, the results of this study suggest that organizational cultural practices may be more strongly related to women's advancement in organizations than organizational cultural values (Bajdo & Dickson, 2001 p. 412).

Women's Perceptions of Organizational Culture, Work Attitudes, and Role-Modeling Behaviors (Jandeska & Kraimer, 2005)

In a recent study, Jandeska and Kraimer (2005) examine the connection between organizational culture and women's commitment to career satisfaction and role-modeling. They note that women are still noticeably absent from the executive ranks of organizations and still make less than their male counterparts. The authors contend that the mentoring between females will lead to increased confidence and women in higher positions of power within organizations. Their hypotheses are as follows:

Hypothesis 1: Career satisfaction will be positively related to career and psychological mentoring.

Hypothesis 2: Organizational commitment will be positively related to organizational citizenship behaviors.

Hypothesis 3: Women's perceptions of masculine organizational culture will be negatively related to (a) career satisfaction and (b) organizational commitment.

Hypothesis 4: Women's perceptions of a collectivistic organizational culture are positively related to their (a) career satisfaction and (b) organizational commitment.

To test these hypotheses, Jandeska and Kraimer use a web-based survey. Their original sample of 125 women was made up of friends and acquaintances of the authors. "We included both casual and close acquaintances, but only women who lived and worked in the U.S, worked full-time, and were at least 35 (i.e. those most likely to have at least ten years of work experience)" (Jandeska & Kraimer, 2005 p. 465). The authors then used a snowball technique, asking their respondents to invite additional professional women to participate. Their final sample included 200 respondents. Jandeska and Kraimer describe their measures of culture, career satisfaction, organizational commitment, citizenship, and mentoring as follows:

> Organizational Culture. We developed six items to measure perceptions of masculine organizational culture values based on Clugston et al.'s (2000) masculinity culture scale. Collectivistic organizational culture values were measured using Robert and Wasti's (2002) seven-item scale. The scale items appear in Appendix 1. Respondents used a five-point scale, from 1 = "Does Not Describe At All" to 5 = "Describes Completely," to indicate how well each statement described their current organizations...
>
> Career Satisfaction. We measured career satisfaction using a five-item scale developed by Greenhaus, Parasuraman, and Wormley (1990). Respondents were asked to indicate, on a scale from 1 = "Very Dissatisfied" to 5 = "Very Satisfied," their level of satisfaction as it related to each statement....
>
> Organizational Commitment. We measured respondents' commitment to their current organizations using four items taken from Meyer and Allen's (1984) affective commitment scale. Respondents were directed to indicate, on a scale ranging from 1 = "Strongly Disagree" to 7 = "Strongly Agree," their agreement with each statement. ...
>
> Citizenship Behaviors. To measure organizational citizenship behaviors, we adapted eight items from the subscales of team performance and organization performance of Welbourne et al.'s (1998) role-based performance scale.

> Respondents indicated their levels of agreement, on a scale ranging from 1 = "Strongly Disagree" to 7 = "Strongly Agree," whether they engage in these eight behaviors....
>
> Mentoring Behaviors. We measured mentoring behaviors using eight items from Dreher and Ash's (1990) mentoring scale. These items described two kinds of mentoring: career and psychosocial.... Respondents were instructed to use a scale, ranging from 1 = "Almost Never" to 5 = "Almost Always," to describe the frequency with which they exhibited the behaviors...(Jandeska & Kraimer, 2005 p. 467)

The results of their study show that organizational cultures in which there was a high masculine dimension was correlated with women who were less satisfied in their jobs but who exhibited more mentoring behavior. Organizational cultures with high collectivistic values were associated with more satisfaction and organizational commitment. "In turn, women who were more satisfied in their careers were more likely to mentor other women (whether for career or psychological reasons) and that women who are highly committed to their organizations demonstrates a higher degree of citizenship behaviors" (Jandeska & Kraimer, 2005 p. 471).

Organizational Culture and Innovation in Nonprofit Human Service Organizations (Jaskyte & Dressler, 2005)

Jaskyte and Dressler (2005) also have a very timely study on organizational culture. They set out to examine the relationship between organizational culture and innovation in the nonprofit world. The authors argue that the increasing importance of nonprofit organizations in providing human services makes it essential that nonprofits be innovative. Nonprofit organizations must

> ...redesign themselves and develop innovative capacities, which allow then to respond to the needs of the external or internal environment, to take advantage of and use external resources for creation and provisions of new services, to have control over their environment, and to respond more rapidly to changing demographics (Jaskyte & Dressler, 2005 p. 24)

Jaskyte and Dressler use a model (see figure 2.7 below) to explain organizational innovation. Obviously, organizational culture is only one of the constructs that help explain innovation. The model below drives the authors' hypotheses. They explain, "It was hypothesized that cultural consciousness and organizational values (the content of the consensus) would be related to organizational innovativeness" (Jaskyte & Dressler, 2005 p. 27).

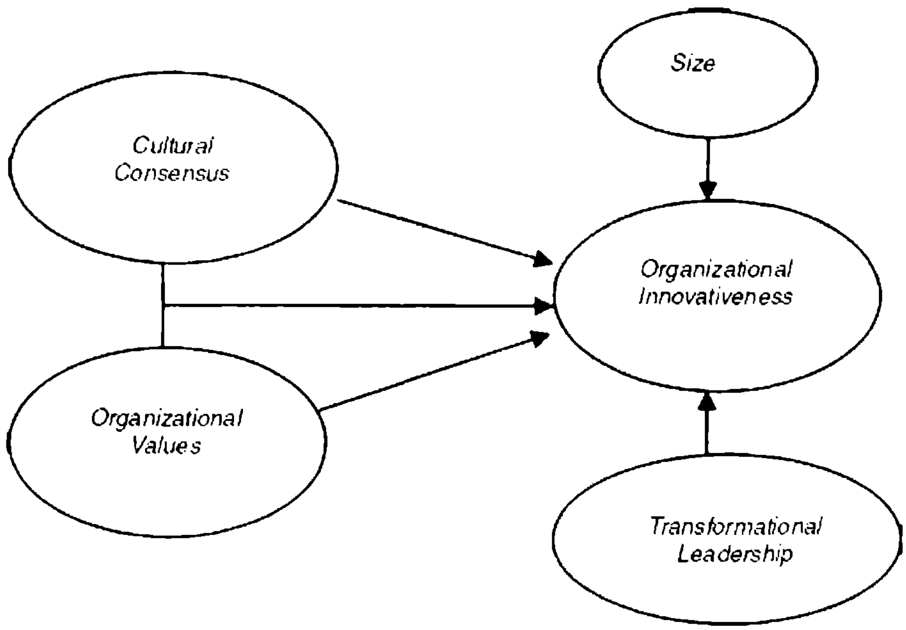

Figure 2.7 Taken from Jaskyte, K. and W. W. Dressler (2005).

Taken from the model above, the variables that Jaskyte and Dressler employ are organizational innovations (measured by the number of innovations adopted in the previous year), organizational culture (using the Organizational Culture Profile (OCP)described above (Jaskyte & Dressler, 2005; O'Reilly et al., 1991)), leadership (using the Leadership Practices Inventory (LPI) (Kouzes & Posner, 1993)), and size (defined as the total number of employees and volunteers). In their discussion of the results, Jaskyte and Dressler detail,

> The results of this study provide support for the inclusion of organizational culture in models of innovation. We found that a strongly shared culture might not be appropriate for fostering innovation, especially considering its

> content. The higher the cultural consensus on such values as stability, security, low level of conflict, predictability, rule orientation, team orientation, working in collaboration with others, the less innovative the organization might be. In our sample innovative organizations had weak cultural consensus and possessed such values as willing to experiment, quick to take advantage of opportunities, and risk taking (Jaskyte & Dressler, 2005 p. 35).

Summary of Section Three

The articles reviewed above show that organizational culture has been conceived of and measured in many ways (for a summary of the articles see table 2.1 below). There has not been any consistent definition nor any one construct used over the various studies about organizational culture. Although organizational values have been included in some of the research studies above, the definition of value has not been consistent nor consistently measured. Certainly, organizational values as part of organizational culture have not been empirically studied as a tool for understanding, which is the scope of this dissertation.

Table 2.1 Measures of organizational culture

Year	Author	Study	Unit of OC Research	Variables related to OC	Measure
1986	Amsa	OC and work group behavior	beliefs, values, norms. tradition	supervisor's concern for production, cost of loitering, workload, desirability of discipline, appropriate on the job behavior, the history of loitering	structured interviews based on prior open-ended interviews and observations
1990	Hofstede, Neuijen et al.	Measuring OC qualitatively and quantitatively across 20 cases	symbols, heroes, rituals, values	work goals, general beliefs, perceived decision-making styles, one's work situation, typical behavior of individuals, promotion and dismissal,	in-depth interviews and a questionnaire using a 5-point Likert scale

Table 2.1 (Con't.)

Year	Author	Study	Unit of OC Research	Variables related to OC	Measure
1992	Sheridan	OC and employee retention	completion of work tasks, interpersonal relationships. individual behavior	detail, stability, innovation, team orientation, respect for people, outcome, aggressiveness	Organizational Culture Profile – a q-sort instrument
2001	Bajdo and Diskson	OC and women's advancement	organizational norms, values, and Practices	performance orientation, humane orientation, power distance, gender equality	part of GLOBE research project – a questionnaire
2005	Jandeska and Kraimer	OC and work attitudes and behaviors	perceptions of masculine organizational cultural values	masculine culture, collectivistic cultures	Web-based survey using 5-point scale of agreement

Table 2.1 (Con't.)

Year	Author	Study	Unit of OC Research	Variables related to OC	Measure
2005	Jaskyte and Dressler	OC and innovation in nonprofit organizations	shared values	value statements about attention to detail, innovation, outcome orientation, aggressiveness, team orientation, stability, and people orientation	Organizational Culture Profile – used a 5 point scale

CHAPTER THREE

METHODOLOGY

Introduction

> In conducting his craft, the researcher must engage his subject in a mode that reflects both the nature of the phenomenon itself and his own values and interests. The researcher's ontological assumptions thus inform, but do not determine, the selection of an appropriate research methodology (Crane, 1999 p. 239).

Is there a relationship between the structure of an organization and the values held by individuals within that organization? This research seeks to empirically test whether a connection between structure and values exist. As early as the 1930s Chester Barnard noted "that every participant in an organization may be regarded as having a dual personality—an organization personality and an individual personality…" (Barnard, 1960 p. 11). Values as part of organizational culture can become ingrained with an individual's personality and influence their decision-making and behavior. Schein notes,

> …(1) we observe that a number of people in the organization seem to behave in the same way, (2) we observe that others in the setting treat the behavior as normal and expected, and (3) we experience the behavior not as random or unmotivated but as *purposive* and *patterned* (Schein, 1996a p. 229).

This research seeks to go beyond examining whether organizational structures contain values or whether individuals within those organizations behave in a patterned way. The heart of the question lies in whether specific structures promote specific particular values (i.e., do hierarchical organizations promote obedience to authority)? The specific theory to be tested, detailed above, was developed by deLeon (1993). She argues that specific organizational structures can be linked to an organizational ethic. As noted, organizational values help shape the ethical climate of organizations. The specific research questions to be tested are:

1. Do different types of organizational structures promote distinct values as part of their organizational culture?
2. Do individuals display specific values tied to the organizational structure, either as espoused values or latent values?

The model of structure outlined in chapter one was developed by Thompson and Tuden (1959). They created a four-fold typology that will be used to delineate structure. According to institutional theory and organizational culture theory, values manifest themselves in two ways – through talk (espoused values) and through action (latent values). For this reason, the research seeks to uncover both the values that individuals list as organizational values as well as the way individuals behave within the organizational setting.

Evolution of Methodology

The methods used for this research are not the ones described when this study was designed. The research outlined in the proposal was a quantitative design. However, there were several problems that arose in attempting to design quantitative methods. A new methodology evolved. The methodology detailed in this chapter is qualitative in design. A qualitative methodology is better able to capture the data that would answer the research questions as posed. As the opening quote of this chapter by Crane asserts, "...the researcher must engage his subject in a mode that reflects both the nature of the phenomenon itself and his own values and interests" (Crane, 1999 p. 239). Although structure seems to be an organizational characteristic amenable to quantitative measures, values, which are socially constructed by individuals within organizations, may be better measured by allowing individuals to self-determine and self-describe them. It should be noted that the author holds a realist epistemology,[3] which suggests socially constructed entities exist ontologically[4] and can be measured empirically. However, measuring values using qualitative methods is more epistemologically congruent with measuring socially constructed values than are quantitative measures of value.

The exploratory nature of this research and its potential data may also be better served by using qualitative methods. Qualitative analysis allows for richly

[3] Epistemology means a theory of knowledge or "how we know what we know."
[4] Ontology means the study of what exists in the world.

detailed exploration of the subject matters and enables researchers to explore in detail not only the phenomenon being studied but also any ambiguities or contradictions that arise (Patton, 1990). As Denzin and Lincoln note,

> Qualitative research is multi-method in focus, involving an interpretive naturalistic approach to the subject matter. This means that qualitative researchers study things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meaning people bring to them (1998 p. 2).

Literature surrounding data collection of components of organizational culture also support a qualitative design. Pedersen and Sorensen (1989) advocate using interviews, observations, and/or archival studies to study aspects of organizational culture. Similarly, Ott says that studies of culture should reject logical positivist experimental designs when he argues. "...if organizational culture is defined as basic underlying assumptions, and if significant differences sometimes exist between espoused values and values-in-use (Argyris & Schon, 1978), the methods using questionnaires and inventories will yield misleading results" (Ott, 1989 p. 101). In short, a switch from a quantitative to a qualitative methodology was motivated not only by problems that arose with the quantitative design but also by the nature of the data under investigation and support from organizational culture literature about the best ways to measure aspects of culture.

Research Design and Data Collection

This research utilizes a qualitative design with three types of data collection: semi-structured group interviews; member checking, which consists of contacting each participant individually a few days after the interview to see if there is any additional or contradictory information that he/she would like to provide; and archival analysis.

Research Design

Formal research designs, such as cross-sectional designs, are appropriate for quantitative research studies. Qualitative research designs should be derived from the questions being studied as well as the population of interest (Miles & Huberman, 1994; Patton, 1990). Qualitative studies are data rich, meaning that there are often more data available than the researcher can use. As a result, the researcher must make choices about what to include and what to exclude. Huberman and Miles (1998) explain,

> These choices have a focusing and bounding function, ruling out certain variables, relationships, and associated data, and selecting others for attention. They call for creative work. In effect, qualitative designs are not copyable, off-the-shelf patterns, but normally have to be custom built… (pgs 184-185).

This does not mean, however, that all qualitative studies have to be an inductive form of grounded theory. Huberman and Miles note that loose inductive designs and tighter deductive approaches both have merit. They argue that "Tighter designs are indicated when the researcher has good prior acquaintance with the

setting, has a good bank of applicable, well-delineated concepts, and takes a more explanatory and/or confirmatory stance involving multiple, comparable cases" (Huberman & Miles, 1998 p. 185). In this research, a more deductive approach is taken because there is a set of applicable concepts and because this research seeks to explain the data using multiple and comparable cases.

The exact research design was not pre-determined but rather emerged as the research was being conducted. This approach is typical of qualitative studies. Patton (1990) explains that in qualitative studies design often emerges after the data collection begins. The amount of openness depends on the questions being researched. "What these considerations add up to is that the decision of a naturalistic inquiry (whether research, evaluation, or policy analysis) *cannot* be given in advance, it must emerge, develop, unfold ..." (Lincoln & Guba, 1985 p. 225). The design for this research consisted of a point-in-time set of data collection techniques including using group interviews and member checking along with archival analysis.

Data Collection

Data were collected on a variety of variables, which are described in the next section. Group interviews and member checking were used to examine some dimensions of organizational structure (technology and task) and descriptions of behavior (latent values). Data surrounding espoused values was mainly gathered using archival analysis. Although interviewees were asked about organizational

values, they often pointed to pre-written value statements for their respective organizations. Other dimensions of organizational structure were also examined as part of the archival analysis. It is important to restate that espoused and latent values are not assumed to be congruent. In other words, there is often a difference between what individuals say and what they do. "Empirical research and much of the organizational literature seem to indicate that 'espoused values' and 'values-in-use' are not necessarily tightly coupled" (Pedersen & Sorensen, 1989 p. 30) This is another reason why data were gathered on these sets of values using different sources – archival for espoused values and group interviews for latent values.

Archival analysis included looking at each organization's website and any supporting materials provided by the interviewees. Examples of supporting materials include newspaper articles, organizational value statements, mission statements, promotional materials, planning documents, meeting minutes, reports (including annual reports), policies and procedures, evaluation materials, ethics handbooks, memos, and informational pamphlets. When this research began, archival analysis was not part of the research plan. After the first interview was conducted with the first organization, however, it became clear that supporting materials and websites would provide an invaluable amount of data relevant to the research questions.

Semi-structured group interviews were conducted with key informants from each organization.[5] Group interviews are not to be confused with focus groups. One important difference between group interviews and focus groups is that semi-structured interviews can have a pre-determined set of questions whereas focus groups generally have less structure. "The group interview has the advantages of being inexpensive, data rich, flexible, stimulating to respondents, recall aiding, and cumulative and elaborate, over and above individual responses" (Fontana & Frey, 1998 p. 55). "Groups are not just a convenient way to accumulate the individual knowledge of their members. They give rise synergistically to insights and solutions that would not come about without them" (J. S. Brown *et al.*, 1989). Potential negative effects of group interviews are that individual respondents are forced into consensus or that individuals are afraid to speak up when they disagree with the group. One way to try to counter this effect is through the use of member checking. Approximately one week after each interview, each group member was contacted individually to see if there were anything she/he wanted to add or if there were anything he/she had thought of relevant to the interview questions. It should be noted that interviewees said that they did not find the interview questions very contentious and in no case did any individual express any ideas contrary to that of the group during the member checking.

[5] Three of the organizations included in this study used information from a single informant. This will be explained below.

Three of the organizations had a single informant for the interview. This first was the director of organization seven (described in detail below). Although another program staff member was around and initially in office for the interview, the busy atmosphere caused her to leave and never really re-enter into the conversation. Other program staff popped in and out for various reasons and occasionally added something to the conversation. During the analysis it was realized that all of the data being analyzed for this organization came from the director. Other program staff pointed out the archival materials but the interview really turned into a conversation between the director and myself. The follow up member checking resulted in more archival materials, but no additional interview information.

The second case in which one interviewee answered for the organization was with the director of organization eight (described in detail below). The interviewee was the sole employee and director of the organization. As director, this individual was not a voting member of the organization. She was hired to carry out the plans of the coalition. She works to try to help the organization achieve its goals by representing it to state and local governments, as well as, contractors and service providers. Although not a voting member, she attends all of the meetings and can speak about the values and decision-making progress within the organization. Originally, I had hoped to include the chair of the coalition. He recently stepped down after being elected to county office. A new chair had not yet been named by

the organizational members at the time of the interview. It was too difficult to select another individual, especially since there are varied interests and varied levels of participation among the members of the organization.

In the third case, the only employee and director of organization nine (described in detail below) was the single interviewee. In this case the individual is not only a voting member but also the individual who handles most of the workload for the organization. Originally the interview set up a meeting with all of the members of the organization, but this meeting was cancelled (twice). These individuals are all very active lawyers and judges in the Denver metro area and coordinating their schedules posed a large problem. As noted below, the interviewee said that the biggest problem that they faced was finding time to get together. Since this was obviously a very non-contentious organization, in the the single interviewee spoke for the organization in order to include the organization.

Each organization was treated as a case for the purpose of cross-case analysis (see below). Huberman and Miles explain,

> Essentially a "case" is a phenomenon of some sort occurring in a bounded context – the unit of analysis, in effect...Foci and boundaries can be defined by social unit size (an individual, a small group, a community, nation), by spatial location or temporally (an episode, an event, a day) (1998 p. 204).

Data were collected on each case using note taking during the group interviews. As soon as possible after each interview notes and thoughts were typed up the notes and other thoughts recorded. All of the organizational materials and websites provided

were read within a day or two of each interview. Additional notes about ideas and themes that I might emerge in each case were noted. In most of the cases the member checking also took place via e-mail (almost everyone noted that they found e-mail more convenient). As a result, some written documentation about the variables were collected. As noted above, however, none of this written information differs from the group interviews. Specific information about how the interview was set up, the mood during the interview, and location of each interview will be discussed case by case in the analysis chapter below.

Human Subjects and Data Storage

This dissertation research passed human subjects review during the summer 2006 semester. In accordance with the procedures for storing data, as outlined by the human subjects committee, the data and identifying information will be kept in the author's home office for a minimum of three years.

Validity and Reliability

Reliability is the degree to which the research or researcher provides a consistent interpretation of the phenomenon being studied (O'Sullivan & Rassel, 1999). Miles and Huberman (1994) note that researcher bias continues to be problematic in qualitative studies. Individuals are the unit of measure in qualitative studies and this makes reliability a central concern. Miles and Huberman suggest

that researchers with a certain set of tools, or characteristics, are more likely to provide reliable data. They write:

"...some markers of a good qualitative [researcher as an] instrument are:

- some familiarity with the phenomenon with the setting under study
- strong conceptual interests
- a multidisciplinary approach, as opposed to a narrow grounding of focus in a single discipline
- good "investigative" skills, including doggedness, the ability to draw people out, and the ability to ward off premature closure" (Miles & Huberman, 1994 p. 38).

In the case of this research, the author was somewhat familiar with the setting and mission of each organization included in the study. The study was also carefully grounded in the conceptual work of Thompson and Tuden. The approach to studying values was informed by the academic disciplines of both philosophy and public administration, and the author demonstrated the ability to get interviewees to open up and share information. The researcher kept notes on the level of rapport gained in each interview. Although no precise scale of rapport was used, the researcher kept track of positive rapport, neutral interactions, and negative or secretive interactions. In all cases except one, the researcher experienced good rapport with the interviewees.

In addition to the characteristics of the researcher, Miles and Huberman also argue that following a procedure is important to assure reliability. This process includes data reduction, data display, and conclusion drawing ((Miles & Huberman,

1994). In the case of this research, this method was followed exactly. Data was first sorted for "like" statements. These were grouped together and added to a large chart (called the "monster" chart). After all the like statements were grouped and reduced to single statements, these statements were then searched for similar themes. Multiple sweeps of the data were made. Conclusions were not drawn until the very end of the process. In addition to these attempts to ensure reliability, the researcher also attempted to be transparent in the analysis section by including the statements alongside the coding in cross-case analysis tables.

One further way to enhance reliability would have been to use another coder to test for inter-coder reliability. This was not attempted because no one other than the researcher had sufficient familiarity with the conceptual scheme (rooted as it is in concepts from the discipline of philosophy that are not well known to other researchers) to do the task skillfully. Ideally, a project such as this one should be done by a team of researchers, which would permit both a larger sample of cases and the testing of inter-coder reliability.

Variables

In the preceding section on research design, it was noted that this study uses a set of well-defined concepts. These are the variables. Unlike experimental or quasi-experimental designs, the purpose of this research was not to test these variables. Rather, these variables guided the research and design of the interview protocol (see

Appendix B).[6] The main variables of interest include technology and task (Thompson's and Tuden's way to delineate structure) and espoused and latent values. At the outset of this research it was decided that it would be a good idea to collect data on additional variables in case no relationship was found between structure and values. Additional variables were included that influence an organization's structure according to Rainey (1997). These are size, environment, and strategic choice.

The most straightforward variable to measure was size – the number of people that belong to an organization. The definition of organization used was "a group of people working toward a common goal." Some organizations included in the study were actually sub-organizational units. For example, a city manager's office included in the study only had 12 members even though there are a total of 1,500 employees that work for that city. The study included only small to medium size organizations ranging from 6 to 252 organizational members. As noted above, two of these organizations had only one employee with the rest of the organization being made up of volunteers.

The variable *environment* is made of several sub-variables including goals, stability, rules, socialization, and resources. The interview protocol sought to uncover these organizational aspects by asking questions such as:

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[6] Please note that I did not necessarily ask the questions in this order during the interviews. I usually asked about common problems in the organization first and then came back to the way people

- How would you describe goals or the mission of the organization?
- How would you describe the stability of the organization?
- When new employees are hired, what is the process of teaching them "the ropes"?
- How would you describe the relationship between management and other organization employees?
- What resources (financial and otherwise) is the organization dependent on to get the job done?
- Who in this office gets to make decisions about resources?

The variable *strategic choice* is made up of several sub-variables including: resources, core technologies, and re-structuring. The interview protocol sought to uncover these organizational aspects by asking questions such as:

- Could the managers of this office re-organize the organization if they saw fit?
- What resources are you dependent on to get the job done
- Who gets to make decisions about resources?
- What are the day-to-day tasks members of your organization participate in?

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behaved during these problems at the end.

- Have you gone through a restructuring process lately, and, if yes, was it successful?

The variable *technology and task* has several subcomponents made up of the statements Thompson and Tuden (1959) use to describe each type of organization (see data analysis). The interview protocol sought to uncover these organizational characteristics by asking questions such as:

- When at work, would you say that there are a large number of formal rules that you are expected to follow?
- Do you have a formal set of policies and procedures, is there a system in place to ensure that employees follow rules or are employees on the honor system?
- Who in this organization gets to make decisions about resources?
- Who decides how finances will be raised and how they will be spent?
- In general, describe the decision-making process involving tasks/interventions/actions in this organization?
- Who is included in the decision-making process?
- What are the tasks/interventions/actions members of this the organization complete on a day-to-day basis?

- Once a decision is made about tasks/interventions/actions for this organization, are members of the organization expected to follow that instruction exactly or is there room for discretion?
- How is information shared with members of the organizations?
- Do all members of the organization have equal access to information?
- Is information shared with the group as a whole or is it routed to only those individuals that it directly affects?

The variable *espoused values* is made up of the articulated values that organizational members talk about or put into their mission and value statements and other printed materials. Espoused values were mainly gathered using archival analysis. A post hoc analysis of the espoused values reveals that it would have been useful to ask interviewees what these values meant to them. This will be further in chapter five. There was one question in the interview protocol that sought to uncover espoused values. It was:

- Organizational values may be defined as the core convictions of the organization or values about the way in which the organization should go about its work. Using this definition, what do you think are the values important to this organization?

As noted above, most interviewees pointed to the written value or mission statement.

The variable *latent values* seeks to uncover the underlying values that guide people's behaviors. In order to uncover the latent values within an organization, the interview protocol sought to uncover the way individuals in the organization behaved when there was a problem. There are a variety of different problems mentioned in the analysis. The biggest challenge was to get the interviewees to talk about a problem internal to the organization. It is important to use internal problems since Thompson and Tuden talk about internal group characteristics of organizations and not about the dimensions of the organization in relation to external relationships. The fit of these problems to the research questions will be discussed in the analysis section below. Some questions included:

- What is a typical problem/dilemma/scenario that members of your organization face (within the organization)?
- When faced with (list problem) how do members of your organization react?
- How do they physically react and what do they talk about?
- When faced with (list problem) how do individuals within the organization expect others to react?
- Are there any behaviors/actions taken/responses to this problem (list problem) that would not be accepted as appropriate behavior by the other members of the organization?

Although data was collected based on all of the variables listed above, only the data surrounding technology and task and latent and espoused values will be used in the analysis portion of this dissertation. Additional information will be offered in the concluding chapter. While there was a great deal of data generated surrounding the other variables there is simply too much data to include in the analysis. Furthermore, the additional data was collected to ensure some analysis could be done. It turns out that the data collected about technology and task and espoused and latent values is sufficient for the analysis and is most closely related to the research questions as stated.

Sample

Sampling in qualitative studies is seldom random. Qualitative researchers often choose individuals, groups, or organizations based on whether their characteristics match what is being studied (Huberman & Miles, 2002). The organizations included in this study were purposefully chosen. The goal was to select organizations with diverse structures as outlined by Thompson and Tuden. However, all of the organizations included were alike in one very important aspect – they were all public or non-profit organizations (see p. 105). The reason for excluding organizations from the private sector was to ensure that all of the organizations were involved in creating a public good. There are a total of nine organizations included in this

study.[7] They include two fire departments, two police departments, two city managers' offices, an organization seeking to end homelessness, a coalition to build mass transit across the mountains, and a city ethics commission. The organizations were chosen based on location and availability. They were all in the Denver area. After the first interview at Org1, a fire department, it was surprising to find that it seemed to be an egalitarian organization. For this reason a second fire organization was included. Other public service organizations were purposefully included. There are two police organizations and two city managers' offices. In addition, the final three organizations were chosen because they shared similar characteristics. Each is a membership with few employees that rely on volunteers to accomplish its goals. Each has very few employees (from 1 - 5) and relies on the volunteers. Since these are all public and non-profit organizations some similarity can be expected in the espoused values.

Organization One

Organization one is a city fire department located in metro Denver. There are a total of 141 members in the organization including administrative staff. The organization lists its mission as: "Serving [*name*] with P.R.I.D.E: Professional in our

[7] Originally there were 10 organizations that agreed to participate. After doing some archival analysis and initial phone contact with an individual that was the director of a domestic violence organization, she decided that they did not have time to participate.

approach, Ready to respond, Innovative and adaptive, Dedicated to the community, and Empowered to make a difference."

Organization Two

Organization two is a regional fire district department that serves two cities and parts of five different counties in the metro Denver area. There are a total of 105 members of the organization including administrative staff. The organization lists its mission as: "To provide the highest quality emergency services to the communities we serve. The [*name*] will strive to be responsive to the needs of citizens and if at all possible to prevent death, and to minimize injury and destruction of property for occurrences of fire, accident, natural disaster, and medical crisis."

Organization Three

Organization three is a city police department in metro Denver. The organization has a total of 204 members including administrative staff. The organization lists its mission as: "We are committed to enhancing the quality of life in the community by protecting life and property, and providing a wide range of services to prevent crime and resolve problems. We accomplish our mission through the contributions of the people in our organization by providing a healthy work place that supports our values and by forming partnerships with the community."

Organization Four

Organization four is also a city police department in metro Denver. The organization has a total of 96 members including administrative staff. The organization lists its mission as: "[*name*] is an organization where community safety and quality of life are truly a shared responsibility between the community and the police; where crime prevention is as important as crime response; where individuality is respected and valued but team work is prized; where continuous improvement is the way we do business; where everyone is responsible and accountable to the community, the department, their division, their team and their fellow city employees; where excellence is the minimum standard; where we celebrate our collective success and work our tails off to correct our failures; where caring, creativity, empowered, family and trust describe us; where problem solving is a way of life; where information flows to whoever can use it; where mistakes are a

tool for learning not evidence of failure; and where human life and human dignity are the cornerstones of our beliefs."

Organization Five

Organization five is a city manager's office in metro Denver. The organization has a total of 12 members including administrative staff. However, the office is responsible for overseeing over 1,500 city employees. The organization lists its mission as: "Delivering exceptional values and quality of life."

Organization Six

Organization six is also a city manager's office in metro Denver. However, the city manager was new to the position in January 2007 and, having come from out of the state, had no institutional memory. Therefore the interim city manager and other department heads were interviewed. It is important to note that this office has experienced a lot of turn over in the past 7 years with 3 different city managers (the new one is the fourth) and 2 different interim city managers. The organization lists its mission as: "Our mission is to serve the Community of [*name*] by serving our employees".

Organization Seven

Organization seven is a coalition to end homelessness in Denver. There are a total of 45 members including five employees and 41 board members (one employee is also on the board). It should be noted that these members work with hundreds of organizations and volunteers in the community to accomplish their mission. The

organization lists its mission as: "The immediate goal of [*name*] is to reduce homelessness in Denver by 75 percent over five years."

Organization Eight

Organization eight is a coalition to build mass transit across the major mountain east-west corridor. The organization has one employee, the project director, but is comprised of more than 50 volunteers that meet on a regular basis. The organization lists its mission as: "...to enhance public accessibility and mobility in the I-70 Central Mountain Corridor and adjoining dependent counties and municipalities through the implementation of joint public & private transportation management efforts."

Organization Nine

Organization nine is a city ethics commission appointed by the mayor of the city. This organization also only has 1 employee and 5 volunteer board members. The commission gives advise and hears ethics complaints. The organization lists its mission as: "The Board of Ethics administers the Code of Ethics, which regulates the employees, elected officials, appointed officials and board and commission members of the Denver city government. The Board gives advice about ethics issues and investigates complaints about ethics issues regarding city government personnel. The Board also assists in giving ethics training to city personnel."

Some of the organizations included in this study were ones in which the researchers had a personal contact within or associated with the organization. This may have been a cost, a benefit, or both. Clearly the benefit is that sharing a mutual contact opened a few doors and resulted in individuals and organizations that were willing to participate in the study. On the other hand, a potential cost is that interviewees may have tried to give the most socially desirable or acceptable answer in anticipation that their answers would be reflected to the mutual contact. The interviewees were guaranteed confidentiality, however; it is unclear if the researcher's personal connections played a role in getting the most accurate answers from the interviewees.

Data Analysis

The data collected from the nine organizations or "cases" listed above will be analyzed using cross-case analysis. Cross-case analysis consists of three techniques; data reduction, data display, and conclusion drawing (Miles & Huberman, 1994). As noted above, qualitative data collection often leaves researches with vast amounts of data to comb through. Cross-case analysis not only helps researchers to deepen their understanding of any given case, it also allows them to make comparisons among cases. There are two kinds of cross-case analysis, case oriented analysis and variable oriented analysis. Case oriented analysis involves using grounded theory to make sense of one case and then applies the framework developed to other cases to see if

there are themes that cut across cases. Variable oriented analysis focuses on finding themes that cut across all cases. Variable analysis may start out with well- defined themes, or the themes may be developed as part of the process (Miles & Huberman, 1994). This research will use the variable approach, using the variables outlined above as themes described previously. No matter the type of cross-case analysis used, the process requires researchers to first do within-case analysis followed by analysis across cases. In describing cross-case analysis, Miles and Huberman (1994) write, "At a deeper level the aim is to see processes and outcomes across many cases, to understand how they are qualified by local conditions, and thus to develop more sophisticated descriptions and more powerful explanations" (p. 172).

Within-case Analysis

Within-case analysis involves careful deductive coding of the data followed by pattern clarification within a single case. Within-case analysis provides three levels of understanding. The first level is descriptive and seeks to outline what is going on. The second level is explanatory and attempts to explain why something is going on by looking for justifications, reasons and supporting claims (Huberman & Miles, 1998). A third level of understanding may also be confirmation. Within-case analysis can be used to confirm or test a theory (Miles & Huberman, 1994). This research will seek to use within-case analysis for all three levels of understanding but will focus on testing the theory developed in chapter one. After patterns have been

identified within a single case, cross-case analysis requires that each case be written up separately although there is no standard format for the write-up (Eisenhardt, 2002; Patton, 1990).

> Within-case analysis typically involves detailed case study write-ups for each site. These write ups are often pure descriptions, but they are central to the generation of insight (Gersick, 1988; A. Pettigrew, 1988) because they help researchers to cope early in the analysis process with the often enormous volume of data (Eisenhardt, 2002 p. 17).

Cross-case Analysis

After each case is analyzed and written up separately, the researcher can begin to look for patterns that emerge across cases. "Many researchers approach cross-case comparisons by forming "types" or "families." Cases in a set are inspected to see if they fall into clusters that share certain patterns or configurations" (Huberman & Miles, 1998 p 196). The cases in this research fall into similar patterns on the dimensions of technology and task also cluster in the areas of espoused and latent values. Exactly what those clusters are will answer the research questions. Even if the value types or families are not the suggested ones listed in chapter one, we may still learn something about the relationship between structure and organizational values.

The Importance of Tables

The second technique of cross-case analysis is data display. Tables and displays play a very important role in this kind of analysis. Tables and displays are used to convey information to the reader. In other words, tables and displays are not

just used to store data, they are used to help explain the data (Huberman & Miles, 2002). Huberman and Miles express,

> Our experience tells us that extended, unreduced text alone is a weak and cumbersome from of display. It is hard on analysis because it is dispersed over many pages and is not easy to see as a whole. It is sequential rather than simultaneous, making it difficult to look at two or three variables at once. It is usually poorly ordered and it can get very bulky, monotonously overloading. Comparing several extended texts carefully is very difficult (1994 p. 91).

Matrices work especially well for variable oriented cross-case analysis and will be the primary mode of conveying information in this analysis. The various matrices below consist of the themes developed in the discussion of variables earlier in this chapter. The reader will see a number of tables for both within and cross-case analysis. Many of the tables represent a single variable and the columns represent the subcomponents of the variable. Statements (verbal and written) will be filled into the appropriate columns. Many iterations of each table developed into the final tables below. The reader should be sure to pay careful attention to the information in the matrices. Examining these matrices, "...readers can see for themselves how conclusions were drawn, rather than being handed study results to be taken on faith" (Miles & Huberman, 1994 p. 100).

Examples of Cross-case Analysis

Cross-case analysis seems to be a fairly recent technique for analyzing qualitative data. Publications using cross-case analysis have become more prominent in the past few years. In order to understand the methods used with this

kind of analysis and to typify the number of cases used in analysis, refereed journal articles using this technique were examined. The authors typically used interviews, questionnaires, and archival analysis. The number of cases included in the analysis ranged from one class (with eight discussion groups) to 13 teachers. The average number of cases included in the analysis is 6.5.

Quantitative research often involves hundreds of subjects in order to create meaningful statistical analysis. However, cross-case analysis typically has a very small N. The amount of data collected using qualitative methods is vast for each case, and for this reason having too many cases makes analysis across cases very difficult. The research population included nine different cases, which seems to be a typical number of cases used with this type of analysis. The reader can also see from the chart above that the most typical way of obtaining data for cross-case analysis is through interviews. This research uses two kinds of interviewing: group interviews, and individual interviews a week later member checking. The present research also includes archival analysis of the many newspaper articles, organizational value statements, mission statements, promotional materials, planning documents, meeting minutes, reports (including annual reports), policies and procedures, evaluation materials, ethics handbooks, memos, and informational pamphlets provided to the researcher. Both the number of cases and amount of data collected for each case make this a rigorous example of cross-case analysis.

Conclusion

This chapter outlines the methodology employed for this study. To summarize, in an effort to answer the research questions, data was collected from nine organizations in the greater Denver metro area. Each organization has been treated as a "case." The data were collected at one point in time using semi-structured group interviews, followed by member checking, and archival analysis. The variables examined included technology and task (as measures of structure) and espoused and latent values. The data from the nine cases will be analyzed below using cross-case analysis.

CHAPTER FOUR

DATA ANALYSIS

Introduction

Data were collected from each of nine cases using group interviews, member checking, and archival analysis. The data below have been analyzed using cross-case analysis. The data have also been highly condensed through a process of coding like statements together and excluding statements that were not applicable to the categories being analyzed. The analysis focused on three different categories including technology and task, espoused values, and latent values. It is important to re-emphasize that the goal of this cross-case analysis is to test a theory. Miles and Huberman (1994) argue that this is a valid use of this technique. As a result, data were analyzed using pre-determined categories that fit the theory being tested. As part of the analysis, statements relating to specific concepts were classified into these pre-determined categories and the analysis searches for patterns or themes within these categories. Data were not forced into these themes but the use of a framework differs from grounded theory. If the data were analyzed using an open coding scheme, without predetermined categories, then different kinds of categories or themes might emerge.

Within-Case Analysis

Technology and Task

This category subsumes the kind of tasks that members of an organization complete on a day-to-day basis and how those tasks are accomplished. Answers to the interview protocol questionnaire and data from the archival analysis looked for statements that had to do with the themes of technology and task as outlined by Thompson and Tuden (1959). The statements developed by Thompson and Tuden about technology and task for each type of organization are below:

Hierarchical Pyramid

1. prohibit specialists from making decisions in issues lying outside their spheres of expert competence
2. bind each specialist to the organization's preference scale
3. route all pertinent information to each specialist
4. route every issue to the appropriate specialist

Pluralist Organization

1. require that each faction hold as its *top* priority preference the desire to reach agreement, i.e. to continue the association
2. ensure that each faction be represented in the decision unit
3. give each faction veto power
4. give each faction all available information about causation

Egalitarian Organization

1. require fidelity to the group's preference hierarchy
2. require all members to participate in each decision
3. route pertinent information about causation to each member
4. give each member equal influence over the final choice
5. designate as ultimate choice that alternative favored by the largest group of judges

Atomistic Individualism

1. the individuals or groups must be independent and thus have some incentive for collective problem solving
2. there must be a multiplicity of preference scales and therefore of factions, with each faction of approximately equal strength
3. more information must be produced than can be processed, and it must be routed though multiple communication channels
4. each member must have access to the major communication networks, in case inspiration strikes

Figure 4.1 Thompson and Tuden's Categories

The interview notes and archival materials were searched for themes involving specialization, information sharing, decision rules, discretion, participation, representation, and conflict resolution. *Specialization* is the degree to which tasks within the organization are given to specific individuals with a certain set of skills to complete that specialized task. Based on the statements above, Thompson and Tuden show that one of the technologies of hierarchical organizations

is that they will be made up of specialists. *Information sharing* is the degree to which information is shared with members of the organization. Based on the statements above, Thompson and Tuden show that hierarchical organizations will route the important information to each specialist while pluralist, egalitarian, and atomic organizations will share information with every member of the organization. *Decision rules* are the degree to which decisions are made by an elite group or the entire membership of an organization. Hierarchical organizations are more likely to have decision-making by an elite group (specific specialists including the specialist whose job it is to oversee the organization as a whole) while the other types of organizations have types of decision-making that vary by organization. *Discretion* is the degree to which members of an organization have the ability to apply rules and decisions to the letter of the command versus as they see fit. According to Thompson and Tuden, members of hierarchical organizations will have much less discretion than those in the other types of organizations. *Participation* is the degree to which any individual member of an organization can participate in the decisions and tasks of the organization. Based on the statements above, Thompson and Tuden show that members of egalitarian organization participate in every decision, which is less of the other types of organizations that have varying degrees of participation. *Representation* is the degree to which a group or faction is represented in the decision-making process. The statements above show that pluralist organizations are

the most likely to have each group represented while the others rely on elites or the individuals themselves. *Conflict Resolution* is the process for resolving conflicts should they arise. Examining the outline in Figure 4.1 (above), it is clear that each of these themes are not found under each type of organization. Comparing the themes to the outlines of the organizational characteristics in Figure 4.1, reveals that varying themes can be aligned with each organizational structure. Figure 4.2 shows the themes that fall under each structure.

Hierarchical Pyramid decision rules discretion information sharing specialization	**Pluralist Organization** conflict resolution information sharing participation representation
Egalitarian Organization conflict resolution discretion information sharing participation	**Atomistic Individualism** information sharing participation

Figure 4.2 Structures And Themes

The themes under each type of structure will play an important role in the delineations of structure for each organization in this chapter. The coding is reliant on Figures 4.1 and 4.2. A process for coding themes using cross case analysis is outlined in the section on reliability in Chapter Three. However, a detailed

description will be given here. Miles and Huberman (1994) note that finding themes consists of data reduction, data display, and conclusion drawing. In the case of this research, all of the data for each organization were placed on one large chart in order to allow the researcher to view it all in one place. This resulted in a huge chart for each organization. For example, the chart for Org1 alone was over 16 single spaced pages. After getting the data in one place, the process of data reduction began. Like statements were grouped together and reduced. This step happened several times with multiple sweeps of the data each time. After statements were reduced as much as possible, they were divided by the overlaying variable (size, environment, technology and task, strategic choice). After division, another round of checking for data reduction took place.

The next step involved looking for the themes outlined in Chapter Three. It is important to note that each organization's chart did not necessarily have statements related to every theme. It is also important to note that the labels of themes in the analysis in this chapter were applied as the last step in the process. The actual themes emerged only after careful data reduction and display had been done. There were not any residual data that was left out or left unreduced.

Categorizing the organizations was accomplished by using Thompson and Tuden's (1959) characteristics of structure (see figure 4.2). These are specialization, information sharing, decision rules, discretion, participation, representation, and

conflict resolution. Each of these can have a positive or negative aspect. Using information sharing as an example, they suggest that hierarchical organizations share information only with those who need to know it, while the other three organizational types share information with all of the members. As a result, the reader can see in the analysis for each organization below that organizations labeled as pluralist, egalitarian, or atomistic individualism share information with all of the members. Organizations labeled as hierarchical generally shared information only with certain members of the organization. This was repeated for all seven sub-themes. Of course, as noted many times throughout this dissertation, no organization is a pure type. Figure 4.2 shows which themes are aligned with each organizational type. The themes present or absent in each case are discussed in the within-case analysis below.

Espoused Values

The themes in espoused values included obedience to authority, obedience to rules, winning, equality, creativity, and flexibility. Group interviews and archival analysis statements were analyzed to see if they fell into any of these categories. In this case, statements were analyzed to see if they contained any of these or related words. At the time of data collection it was assumed that espoused values would be the easiest to analyze. After the data were analyzed, it became clear that espoused values are not always straightforward. Nevertheless, interviewees were not asked

about the meaning behind their espoused values. This will be further discussed in the concluding chapter. Individuals within an organization can express organizational values, or an organization's value statements express values that can be can be taken literally. For this reason, many additional themes within espoused values emerged (see below).

Latent Values

The themes within latent values are the same as espoused values: obedience to authority, obedience to rules, winning, equality, creativity, and flexibility. However, in this case, statements from the group interview data were analyzed to see if the behavior (as described) of individuals fell within any of these categories. Interviewees were asked specifically about the kinds of problems that arose internal to their organization. They were then asked how individuals within the organization acted or behaved when these problems occurred. *Obedience to authority* consists of turning to administration or authorities to deal with the problem. *Obedience to rules* consists of looking to rules, policies, and procedures to find the solution to a problem. *Winning* consists of forwarding an individual or group idea about a solution to a problem in order to have the solution be adopted by the larger group. *Equality* consists of being sure everyone is treated equitably and fairly in implementing the solution to the problem. It also consists in treating each member of the group equitably in reference to professional respect. *Flexibility* consists of being able to change plans in order to take on the problem. *Creativity* consists of being able to find solutions that are outside of the normal way of doing things within an organization.

Organization One (Org1)

Org1 is a fire department in greater metro Denver. This was the first group interview conducted. The chief was contacted about the project and he set up the interview with the other deputy chiefs. The interview occurred following a staff meeting and the same conference room was used as the meeting had been in. The door was kept open and folks passing by would occasionally say hello to someone in the room. The mood in the room was professional but friendly. One of the deputy chiefs is a graduate of the MPA program. The interview protocol was used to conduct the interview. In general the interviewees were very open and very proud of their department. I discovered I had built rapport at the end of the interview when they invited me to contact them again with questions (as opposed to me asking them if I could contact each of them in about a week).

Technology and Task

The interviewees explained that the main daily task of the organization is to keep people safe. This is accomplished through inspections, fire prevention, public education, response to emergencies, emergency medial treatment, equipment maintenance, and formal training. Since members of this organization work 24-hour shifts and stay at the firehouse, they also listed their daily tasks as cooking and cleaning. Table 4.1 analyzes statements about technology and task.

Table 4.1 Org1 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	all firefighters are state and nationally certified, all are paramedics, and are all cross-trained
	if someone has a special skill it is put to use...for example, one former engineer is experienced in truck design and he helps select new trucks
Information Sharing	everyone has equal access to information and decisions
Decision Rules	the ultimate decision lies with the chief but he turns it into a group discussion - the chief has veto power but has only used it on time in the last 14 years
	there are 2 staff meetings a month with all the firefighters and this is where most of the decision-making occurs
Discretion	once a decision is made, there is room for discretion by individual firefighters
Participation	members of the organization feel free to express their opinion and diverse opinions are always taken seriously
Representation	there are 2 staff meetings a month with all the firefighters and this is where most of the decision-making occurs
Conflict Resolution	there is an 8 member management team for administrative decisions
	when problems occur, they are usually worked out as a small group
	there is a system for disagreements starting with the immediate supervisor and the chiefs have an open door policy

The interviewees of Org1 took a great deal of pride in explaining how decisions were made. Although on paper this organization might look as if a high degree of specialization existed and decision-making was the duty of the chiefs, the interviewees explained that this was not the case. The organization holds two meetings a month and it is in this forum that most of the decisions about the organization as a whole are made. Everyone has equal access to information. The chief even declared "there are no secrets in this organization." Ideas and problems are discussed as a whole during these meetings and the group makes their ideas known and offers recommendations to the fire chief. Although the chief does have the power to override these decisions, he has only done so one time in the last 14 years. This type of decision-making also carries over into the hiring process. Recruits spend time at each of the six fire stations and everyone at each station is asked to give an evaluation of each recruit -- even administrative staff are asked about their opinion about each recruit. The interviewees explained that if the majority of members believe this person would be a good fit within the organization, then the chief moves forward with the hire.

Individuals within the organization are not highly specialized. They are all certified firefighters and are all trained as paramedics. In addition, they are all cross-trained in the tasks of emergency response. A few specializations do exist but the interviewees explained that these have to do more with interests of the individuals

than with the needs of the organization. For example, one individual has a background as an engineer. He is greatly interested in fire truck design so he is on the committee to help select new trucks. Other individuals are on specialized units, such as the wild-land team. This also has more to do with their specific interests, however, than with being trained in a special skill. The interviewees also explained that although there was a large set of guidelines about how to behave and operate within the organization, there were very few formal rules, and individual firefighters have a lot of room for discretion. The interviewees noted that if you arrived on the scene of an emergency and watched them operate, it might appear that there were a lot of formal rules and little room for discretion. But, they explained that in an emergency situation everyone takes on a specific task, and the appearance of this rigid structure does not appear in non-emergency situations.

Returning to the categories of organizations developed by Thompson and Tuden, this organization falls within the parameters of an egalitarian organization. Although no organization fits within an ideal type, returning to figures 4.1 and 4.2 (above), the themes align with the egalitarian organization. The varying themes that emerged include a process for conflict resolution, individuals with room for discretion, information shared with everyone in the organization, and participation is shared by all members of the organization. Two themes related to the hierarchical model were specifically absent (specialization and decision rules). The organization

is not made up of specialists and although the chiefs can and does make decisions, they go along with the recommendations of the group.

Espoused Values

The espoused values of Org1 come from a value statement and from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The core of each statement is contained in Table 4.2 below. Each statement has been coded with one theme (or value) listed on the table. Since there was no discussion about the meaning of themes and values took place, they were taken at face value in this part of the analysis. In many cases, the organizational literature paired these values with certain phrases and I would like to maintain this relationship in the analysis section. This will be discussed more in the concluding chapter.

Table 4.2 Org1 within-case analysis: espoused values

<table>
<tr><th>Theme</th><th>Statements</th><th>Value</th></tr>
<tr><td>Obedience to Authority</td><td>none</td><td>NA</td></tr>
<tr><td>Obedience to Rules</td><td>none</td><td>NA</td></tr>
<tr><td>Winning</td><td>none</td><td>NA</td></tr>
<tr><td>Equality</td><td>none</td><td>NA</td></tr>
<tr><td>Flexibility</td><td>none</td><td>NA</td></tr>
<tr><td>Creativity</td><td>none</td><td>NA</td></tr>
<tr><td rowspan="3">Other</td><td>providing an environment of strong identity and pride</td><td>Identity</td></tr>
<tr><td>government should be a part of, not apart from, the community</td><td rowspan="2">Community</td></tr>
<tr><td>community before government</td></tr>
<tr><td rowspan="5">Other</td><td>quality service delivery</td><td>Customer service</td></tr>
<tr><td rowspan="2">all firefighters are expected to be fully accountable and fully honest</td><td>Accountability</td></tr>
<tr><td rowspan="2">Honesty</td></tr>
<tr><td>dishonesty is not tolerated</td></tr>
<tr><td>we try to put our values upfront and encourage firefighters to do the right thing</td><td>Ethics</td></tr>
</table>

None of the data collected on espoused values contained any reference to the themes or values suggested above. The themes that emerged were identity, community, customer service, accountability, honesty, and ethics.

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational situations. Interviewees were

asked to indicate typical problems that arose within their organization. It is important to remember that these had to be problems internal to the organization and not problems dealing with the public. The object was to get interviewees to explain how individuals reacted or behaved during these problematic situations. The specific problematic situations discussed with members of Org1 were individuals showing up late for a shift and common disagreements that arose between members in the same firehouse. Table 4.3 shows statements made about behavior when these problems occur.

Table 4.3 Org1 within-case analysis: latent values

Theme	Statements	Value
Obedience to Authority	none	NA
Obedience to Rules	lack of accountability is not tolerated	Obedience to Rules
Winning	none	NA
Equality	lack of professional respect is not tolerated	Equality
Flexibility	none	NA
Creativity	none	NA
Other	when problems occur, they are usually worked out as a small group	Cooperation
	when problems are reported to administration, the individuals are usually invited to come in and sit down to talk about it	Communication

When an individual is late for a shift, the problem is usually worked out between that individual and his/her immediate supervisor. If the problem continues to occur, however, the individual may be reported to administration. If this happens, the interviewees explained that the individual was usually invited to come in and talk to the chiefs about it. They further explained that this was not as much reprimand as a way to find out what was going on, e.g., if that individual is facing some kind of personal issue.

A second type of problem discussed was instances of disagreement between members in the same firehouse (about non-response issues such as cleaning). The interviewees noted that they have one hard and fast rule -- all firefighters are responsible for their own actions. Anyone who failed to complete a task at the firehouse should be willing to own up to her/his actions. In addition, all of the interviewees noted that lack of respect for each other in these situations was not tolerated. They noted that generally this type of problem worked itself out among the individuals involved. If one of these disagreements was on going, however, the administrative officers would come into the firehouse and conduct a meeting where the individuals involved can explain their problems and listen to the responses of the other individuals involved.

These specific situations were a good fit for finding out how individuals within Org1 reacted to typical problematic situations within the organization. The

specific themes that emerged from discussion of these problems and behaviors were obedience to rules, equality, communication, and cooperation.

Organization Two (Org 2)

Org2 is also a fire district in metro Denver. The chief was contacted about the project and he set up the meeting with the deputy chiefs. In this case, the meeting was in the chief's office and the door was closed. The mood was very professional although the initial hesitancy to answer questions suggested that the interviewees might have been slightly suspicious of the line of questions. As a result, the least intrusive questions on the interview protocol were asked first. The interviewees shared a lot of general information about the organization and the conversation opened up very quickly. When a question about the relationship between administration and lower level personnel the chief was very candid (see below). By the end of the interview the mood had changed into a much more trusting and friendly atmosphere. Again, they invited further contact them with questions. The chief even gave me his personal contact information, which demonstrated I had gained at least some trust and rapport.

Technology and Task

The interviewees described the main daily task as customer service. This includes responding to emergencies, car seat inspections and car seat safety classes, public education, going into schools, CPR classes, building inspections, defibrillator training and battery checks, medical training, and safety training. Much like Org1,

the interviewees also noted tasks at the firehouse including cooking and cleaning and individual study time (higher education is encouraged). Table 4.4 analyzes statements about technology and task.

Table 4.4 Org2 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	all of them are trained in basic fire fighting but the medical staff have separate training and tasks
	there is usually a guy who drives, gets out the hose, etc.
	there are specialized tasks
Information Sharing	information flow has become more difficult as the organization has grown – we use the chain of command
Decision Rules	chiefs decide who will be hired – others have input
	chiefs, captains, and lieutenants make the decisions - depending on the level of the decision that has to be made
Discretion	this is a paramilitary organization - there is no room for discretion
	there are a lot of formal rules that have to be followed
Participation	none
Representation	no voting
Conflict Resolution	none

Although Org2 has a very similar mission to Org1, the description of their environment could was very different. The first description of the organization given by the interviewees was that this is a paramilitary organization. Org2 does not have meetings with every member in attendance. Recent growth in the department has

challenged the traditional lines of communication. There are three different shifts at each of six different stations and each individual firefighter works only three days a week. Information is shared using the chain of command. The chiefs make decisions within the organization and orders are passed down through the chain of command. Although individual firefighters are encouraged to share their ideas with the chief, there is certainly no group decision-making and never any voting about topics, according to the interviewees. The decision-maker in any given situation depends on the level of the decision that has to be made. In terms of hiring, the chief makes the decisions. The captain in charge of paramedic services makes day-to-day decisions about training. However, if the captain needed new equipment, this would have to be approved by the chief.

The interviewees noted a higher degree of specialization within Org2. All of the individuals are trained in basic firefighting but most of them also have special training in other tasks – car seat inspection, for example. The interviews noted that there is also a degree of specialization during an emergency call. There is an individual responsible for driving the truck, an individual responsible for getting the hose ready, an individual responsible for getting the ladder down, etc. Every station is manned by at least these three individuals at all times. The interviewees noted that there are a large number of formal rules they are expected to follow. When asked

about discretion, one interviewee noted, "This is a paramilitary organization, there is no room for discretion."

Returning to the categories of organizations developed by Thompson and Tuden (1959), this organization falls within the parameters of a hierarchical organization. Although no organization fits within an ideal type, returning to figures 4.1 and 4.2 (above) the themes align with the hierarchical pyramid. The varying themes that emerged include an organization made up of specialists (specialization), information passed along the chain of command to only those individuals that need to know (information sharing), decision-making at the administrative level (decision rules), and no room for discretion by individuals within the organization (discretion). Themes related to the other structural models were specifically absent - especially conflict resolution, participation, and representation. This is interesting to note because Org2 had a very similar mission to Org1 and the leadership in both organizations has been consistent and long standing.

Espoused Values

The espoused values of Org2 come from organizational literature and from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The core of each statement is contained in Table 4.5 below. Each statement has been coded with one theme (or value) listed on the table. Since these no discussion about the meaning of themes and values took place, they

are taken at face value in this part of the analysis. In many cases, the organizational literature paired these values with certain phrases.

Table 4.5 Org2 within-case analysis: espoused values

Theme	**Statements**	**Value**
Obedience to Authority	none	NA
Obedience to Rules	none	NA
Winning	none	NA
Equality	none	NA
Flexibility	none	NA
Creativity	none	NA
Other	tradition – many of the firefighters joined because of the tradition	Tradition
	tradition and customer service are values that conflict - if we do not meet the customer's expectations, we will go out of business	Customer Service

None of the data collected on espoused values contained any reference to the themes or values suggested above. The themes that did emerge were tradition and customer service.

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational situations. Interviewees were asked to indicate typical problems that arose within their organization. It is important to remember that these had to be problems internal to the organization and not problems dealing with the public. The object was to get interviewees to explain how individuals reacted or behaved during these problematic situations. The specific problems discussed with the members of Org2 were failure of non-administrative level employees to understand the politics of running the organization and problems that arose between the union representing individuals and the administration. The discussion about union disagreements did not really provide any useful data (although the interviewees were very candid about these problems) so the problem focused on for analysis concerns the political environment. Table 4.6 shows statements made about behavior when these problems occur.

Table 4.6 Org2 within-case analysis: latent values

Theme	Statements	Value
Obedience to Authority	firefighters just look to the chief to fix the problem	Obedience to Authority
	firefighters would do whatever the chief asked of them	
	their attitude is – we don't care how it gets fixed, just fix it	
	they want the administration to fix the problem	
Obedience to Rules	none	NA
Winning	none	NA
Equality	none	NA
Flexibility	none	NA
Creativity	none	NA
Other	individuals are only worried about what they have to do to keep their job	Self Preservation

A city ambulance service existed in one of the communities served by this fire district. This was privately owned and the owners decided to shut down the business with only two weeks' notice. Citizens expected the fire department to respond by offering this emergency service. With only two weeks notice, however, and no line in the budget, this took a lot of hard work. When asked how the individuals within Org2 responded, the interviewees said that they just expected the chiefs to fix the problem. Although they all said they would do whatever necessary

to help, they expected the guidance and instruction to come from the administration. At least one interviewee said that individual firefighters are not worried about politics and that they only worried about what they had to do to keep their job.

The specific organizational problematic situations discussed by the employees did not fit the model as closely as they were for Org1. The example of the disagreements between the union and the administration was clearly a hot button issue. The discussion focused more on union representatives than on members of the organization. In general, the interviewees suggested that the union officials had to create problems in order to remain needed and to keep their jobs. This conversation was not included in the analysis. The other problematic situation discussed did reveal how individuals reacted to a situation that caused internal restructuring. Although the problem did arise external to the organization, we were able to focus on the internal problematic situation during the interview. The specific themes that emerged looking at behavior are obedience to authority and self-preservation.

Organization Three (Org3)

Org3 is a police department in metro Denver. The chief was contacted he set up a meeting with all five commanders. The interview was held in the conference room of the police department. Org3 was certainly the most challenging group interview to conduct because present at the meeting was the chief, deputy chief, and all five of the commanders. The mood was friendly and light and there was a lot of

laughter. To spite being challenging, this interview was a provided a lot of good data. There was even a longstanding joke about trying to get the chief to approve a soft serve ice cream machine in the budget which was brought up at this meeting. Every member of the group seemed to be an open book and many of them took time after the interview to send a link to their website. The deputy chief [8] was familiar with the project and with myself and as a result it I had almost instant rapport with the entire group.

Technology and Task

They described their main tasks as protecting life and property and maintaining the quality of life for individuals within their community. This is accomplished through patrol, traffic enforcement, mall and school security, special events security, jail duty, training, court security, investigation, victim services, animal control, 911 operation, vehicle maintenance, school safety education, and Special Weapons and Tactics (SWAT). Table 4.7 analyzes statements about technology and task.

[8] It is worth noting that the deputy chief is also aiding two other doctoral students in the program with data collection for their dissertations and is very familiar with many of the students and faculty in the department.

Table 4.7 Org3 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	all have specialized tasks
Information Sharing	it flows down the chain of command to the individuals that need to know it - growth has changed the way communication happens so for very general things there are just mass e-mails - sensitive or pertinent information is routed up and down.
	we have a lot of meetings with the command staff and there is a lot of paper work for sensitive topics
Decision Rules	the chief has the ultimate say whether or not someone is hired – along with the rules associated with human resources
Discretion	thousands of rules we must follow- we have rules and policies and procedures for everything – even where to place your name tag
Participation	none
Representation	none
Conflict Resolution	none

The interviewees explained the members of their department had very specialized tasks that were designated by the part of the organization they worked under. These included management, administrative staff, hiring, and the other subunits mentioned above including patrol, traffic enforcement, mall and school security, special events security, jail duty, training, court security, investigation, victim services, animal control, 911 operation, vehicle maintenance, school safety education, and SWAT.

This organization has also recently experienced a lot of growth that has changed the way in which they communicate with each other. Non-critical information about meeting, events, minor changes in policy are sent out via e-mail blasts. One interviewee noted that he gets so many e-mails that he does not take time to read them critically. Critical information, however, is passed down the chain of command. The chiefs and commanders have weekly meetings. The commanders take the information back to sergeants who then make sure it gets to the proper individuals. The chief has the ultimate decision-making power in the organization but relies on the judgments of his commanders who are in more regular contact with each of the units. Special requests come to the chief and are in his discretional purview. For example, one commander wanted two new printers and took the opportunity to ask for them while I was in attendance (hoping for a favorable outcome in front of an outsider).

The interviewees explained that there was very little room for discretion. They noted that there were thousands of rules that they had to follow. Their nametag is even supposed to be worn exactly1/4 inch above the pocket on their uniform. However, when asked if they would be reprimanded for wearing it 1/3 inch above their pocket the answer was "probably not." Other rules, they asserted, were followed exactly and breaking them would be a cause for reprimand.

Returning to the categories of organizations developed by Thompson and Tuden (1959), this organization falls within the parameters of a hierarchical organization. Although no organization fits within an ideal type, returning to figures 4.1 and 4.2 (above) the themes align with the hierarchical pyramid. The varying themes that emerged include an organization made up of specialists (specialization), critical information passed along the chain of command (information sharing), decision-making at the administrative level (decision rules), and no room for discretion involving these rules by individuals within the organization (discretion). Themes related to the other structural models were specifically absent - especially conflict resolution, participation, and representation.

Espoused Values

The espoused values of Org3 come from its organizational literature and from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The core of each statement is contained in Table 4.8 below. Each statement has been coded with one theme (or value) listed on the table. Since no discussion about the meaning of themes and values took place, they are taken at face value in this part of the analysis.

Table 4.8 Org3 within-case analysis: espoused values

Theme	Statements	Value
Obedience to Authority	none	NA
Obedience to Rules	none	NA
Winning	none	NA
Equality	none	NA
Flexibility	none	NA
Creativity	we provide an environment that encourages communication, creativity, opportunities for personal and professional development, quality training and education, and a sense of ownership for the people in our organization	Creativity
	we encourage creative problem-solving and decision-making at all levels of the organization	
Other	integrity from the top – integrity is the most important value	Integrity
	we also encourage them to think about the values of the department and how they express them. In other words "walk the walk"	
	integrity is the most important	
	we recognize that people in our organization are our most important resource	Employees

Table 4.8 (Con't.)

Theme	Statements	Value
Other	we accept responsibility as individuals and as members of an organization for our actions	Accountability
	we encourage members of the community to be involved in our organization and we form partnerships with the community to resolve problems	Community
	we value human life and treat all people with courtesy, dignity, respect, and acceptance	Life

None of the data collected on espoused values contained any reference to the themes or values suggested above. The strong themes that did emerge creativity, integrity, employees, accountability, community, and life.

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational problematic situations. Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational situations. Interviewees were asked to indicate typical problems that arose within their organization. It is important to remember that these had to be problems internal to the organization and not

problems dealing with the public. The object was to get interviewees to explain how individuals reacted or behaved during these problematic situations. The specific problems discussed with the members of Org3 include situations in which officers were confronted with situations they were not expecting – such as understaffing for some kind of uprising or specific one time event. Table 4.9 shows statements made about behavior when these problems occur.

Table 4.9 Org3 within-case analysis: latent values

Theme	Statements	Value
Obedience to Authority	the officer would ensure safety first but would most likely call his sergeant to see what to do -he/she would call the commander who would then check in with the chief if there was any question	Obedience to Authority
	a sergeant has the call whether to call in additional resources in that moment but his decision may be reviewed	
Obedience to Rules	turn to administration and policies	Obedience to Rules
Winning	none	NA
Equality	none	NA
Flexibility	none	NA
Creativity	none	NA
Other	none	NA

The interviewees explained that when officers find themselves in a situation they are not prepared for or if the organization was understaffed for an unexpected event, the officers would first act in accordance with training, policies, and procedures. If this were not a clear case of applying rules, however, officers would act first to ensure the safety of anyone involved. Next, they would check in with their sergeant for specific instructions. The sergeant has the authority to call in additional resources. However, the sergeant's actions are likely to be reviewed by the commanders and chief. If the situation were serious enough, the chain of calls about what actions to take may go all the way up to the chief.

In this case the there were commanders from each of the units in the room so the group decided to talk generally about problematic situations that were applicable to all of them. In general, they said it would be a problem for any officers to face an unexpected situation. Although their examples did have to do with dealing with the external public, they were able to explain how they would be expected to react internally. Although the examples were not quite ideal in that they did not focus solely on internal problems, the interviewees were able to describe how individuals react and are expected to react in problematic situations. The specific themes that emerged were obedience to authority and obedience to rules.

Organization Four (Org4)

Org4 is also a police department in metro Denver. The chief was contacted and he set up the interview with the commanders. The interview was at the police station and we went to chief's office. The organization is in the process of restructuring - both in structure and location. As a result the chief's office was in an isolated part of the building so even though the door was left open, there were not any other people in sight. The mood was professional and the interviewees seemed very eager to participate. They were exceptionally polite to each other. The interview protocol was followed and a lot of time was spent talking about restructuring which is not part of the analysis in this section. It is worth noting that the restructuring was very much driven by the ability to provide better service to the "customer". They did not, however, formally recognize customer service as an espoused value.

Technology and Task

This organization has gone through a re-organization process in the past year and has changed the daily tasks of some individuals who are still getting used to their new roles. The interviewees say their daily task is ensuring community safety. This includes traffic patrol, investigation, crime prevention, citizen education, and security. This organization just recently divided the city into two precincts, with

each of these tasks being done independently in each of the two areas. Table 4.10 analyzes statements about technology and task.

Table 4.10 Org4 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	they are a certain rank and have certain responsibilities associated with their rank - we do not have as much specialization as larger departments but there is some specialization
Information Sharing	there are department wide e-mails about day-to-day announcements
	critical information is routed through the chain of command
Decision Rules	administration – commander and sergeants give recommendations to chief
	the chief has the ultimate say
	the chief, command staff, and administrative sergeant make most of the decisions -anyone in the department is free to make suggestions but they seldom do
	if decisions are legal, ethical, moral, or about the budget then administration makes the decisions.
	if they are about day to day tasks then decisions can be made at lower levels as long as they are in accordance with polices and procedures
	officers are expected to accept the judgment of their commanding officers
Discretion	the kind of problem dictates whether there is discretion
Participation	NA
Representation	commander and sergeants give recommendations to chief
Conflict Resolution	NA

The description of Org4 given by interviewees sounded very similar to the discussions of Org3. Members of Org4 also had specialized tasks. However, there was more cross training in Org4 than there was in Org3. The reason for this, explained the interviewees, is that the organization is not very large (less than half of the size of Org3). Org4 does not have the luxury of training an individual in only one area. Nevertheless certain specializations still occur in the areas of patrol, investigation, and SWAT, although any of these officers might be called on to do community education.

General information about the department is shared with all members of the organization via e-mails and day-to-day announcements. Critical information is passed down the chain of command to the individual. The interviewees explained that information about ongoing investigations did not go to patrol officers unless it involved them. Decision-making in Org4 looked very similar to decision-making in Org3. The chief has the ultimate say. However, he relies on the judgments of his commanders and sergeants since they are more involved in the day-to-day operations of the organization. The interviewees noted that individuals in the organization were free to make suggestions but this rarely happened. The organization used to have a suggestion box but got rid of it because no one ever used it. As for discretion, the interviewees explained that this was dependent on the problem. An individual officer can deal with a minor citizen complaint in a way that he/she sees fit. This

should be in accordance with policies and procedures but instances arise that are not specifically addressed within the rules of the organization.

Returning to the categories of organizations developed by Thompson and Tuden (1959), this organization falls within the parameters of a hierarchical organization. Although no organization fits within an ideal type, returning to figures 4.1 and 4.2 (above), the themes align with the hierarchical pyramid. The varying themes that emerged include information passed along the chain of command only to those individuals who need to know (information sharing) and decision-making at the administrative level (decision rules). Themes that were not quite as clear-cut were the degree to which there were specialists (specialization) and room for discretion by individuals within the organization (discretion). Although the organization did have specific units, it was also the case that employees were cross-trained in the many of the day-to-day tasks of the organization. It was also apparent that they had more room for discretion in their relationship with the community members than did the officers in the other police organization. The interviewees did talk about each commander representing his precinct to the chief (representation) but did not talk about any individual or faction being represented. Themes related to the other structural models were specifically absent - conflict resolution and participation.

Espoused Values

The espoused values of Org4 come from its organizational literature and from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The core of each statement is contained in Table 4.11 below. Each statement has been coded with one theme (or value) listed on the table. Since these no discussion about the meaning of themes and values took place, they are them at face value in this part of the analysis.

Table 4.11 Org4 within-case analysis: espoused values

Theme	Statements	Value
Obedience to Authority	none	NA
Obedience to Rules	none	NA
Winning	none	NA
Equality	none	NA
Flexibility	none	NA
Creativity	none	NA
Other	dignity	Dignity
	provide public safety services in a cost effective and efficient manner	Public Safety

Table 4.11 (Con't.)

Theme	**Statements**	**Value**
Other	crime fighting, crime prevention and traffic accident reduction efforts are derived from a clear understanding of the specific crime issues facing the community	Public Safety (con't)
	complete information and information sharing is how we empower ourselves and others with knowledge to maximize efficiency	Openness
	we treat everyone with courtesy, professionalism and respect	Professionalism
	the police department is equally valued and the way we do business is through integrated teamwork	Teamwork
	continuous improvement is the way we do business and innovation is encouraged and expected and used to support organizational and individual development	Innovation

None of the data collected on espoused values contained any reference to the themes or values suggested above. The themes that did emerge included dignity, public safety, openness, professionalism, teamwork and innovation.

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational situations. Interviewees were asked to indicate typical problems that arose within their organization. It is important to remember that these had to be problems internal to the organization and not problems dealing with the public. The object was to get interviewees to explain how individuals reacted or behaved during these problematic situations. The specific problem discussed was instances of officers not reporting for their shift. Table 4.12 shows statements made about behavior when these problems occur.

Table 4.12 Org4 within-case analysis: latent values

Theme	Statements	Value
Obedience to Authority	they expect their superiors to do something about it they let the administration handle it	Obedience to Authority
Obedience to Rules	disciplinary actions are required for repeat offenses officers also know there can be disciplinary actions taken by administration	Obedience to Rules
Winning	none	NA
Equality	none	NA
Flexibility	none	NA
Creativity	none	NA
Other	none	NA

Org4, like other police departments, has minimum staffing requirements. This means that if an individual does not show up for work, another person either has to stay and work overtime or a third individual has to be called in on his/her day off. The interviewees said that in general individuals are understanding about this if an officer who does not show has an emergency or is really ill. However, they get very resentful if a person knows they will not show and does not call in until the last minute – especially around the holidays. Recently they had an individual that took another position in another department after the start of the New Year. This individual decided to take an extra day off at Christmas, realizing that he could not get fired since he was already leaving. The officers were very upset and wanted administration to do something about it. In normal circumstances, individuals just expect administration to handle the situation, but in this case they actually came to administration and asked what was going to be done. Disciplinary actions are required for repeat offenses but since this individual was already leaving the next week, there was little that could really be done.

In this case, the instances of officers not showing up for work were a good fit for the interview questions. The interviewees focused on a few different incidents of officers not showing up for work and these were problems clearly within to the internal environment. The specific themes that emerged were obedience to authority and obedience to rules.

Organization Five (Org5)

Org5 is a city, specifically a city manager's office. The director of public relations set up the interview with the city manager and himself. They had invited another city director but he was not in on the day of the interview so one of the administrative staff came in. We met in the city managers office. The mood was very professional. At the outset of the interview we discovered that one of the interviewees and I attended the same undergraduate institution during the same time frame. The conversation seemed to spearhead an open conversation. The interview protocol was followed and there was not any obvious resistance to the questions.

Technology and Task

The interviewees explained that the main task of the city manager's office is to ensure that the organization meets the city's mission statement and values. This includes evaluating the city's effectiveness through performance measures, preparing and executing the budget, representing the city in legislative issues, managing the neighborhood outreach program, and staying in touch with the council members. Table 4.13 analyzes statements about technology and task.

Table 4.13 Org5 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	within the office there are different specialists
Information Sharing	there are daily e-mail updates and a lot of information is posted on the website
Decision Rules	the city manager has the authority to make decisions but he entrusts the decision to department heads for the most part
	the city manager listens to the opinion of employees but ultimately has the power to make the decisions, sometimes he agrees with the recommendations of the employees and sometimes he does not
Decision Rules	city manager has to be "ever vigilant - staying in touch with the pulse, attitude, and feelings of city workers" - the manager has to keep things on the right track and be willing to adjust -people that work for the city have to feel free to apply their own solutions
	the city manager is a lot more "hands on" when hiring a department head or for any position for which there is a national search – it depends on the level of the hire
Discretion	the city manager entrusts the decision to department heads for the most part
	when there is a problem, the people closest to the situation address those issues -we hire good people and let them manage
Participation	none
Representation	none

Table 4.13 (Con't.)

THEME	STATEMENTS
Conflict Resolution	there is a procedure for problems. HR has an advisory role that gives help to managers providing advice and mediation

Org5 evinced a split personality. On one hand, the interviewees seemed to extol the efforts of the city manager to include everyone in the office in the decision-making process. On the other hand, they also made comments about the ultimate decision belonging to the city manager himself. For example, the city manager said he always listened to the opinions of his employees and that he sometimes heeded the advice and sometimes he did not. The interviewees certainly seemed to think that people who belong to the organization have to be free to develop their own solutions to problems. It is just not clear that these same individuals are free to implement those solutions.

There is a degree of specialization within the city manager's office. For example, one of the interviewees is in charge of public relations. The interviewees noted that the city manager allowed the department heads to make decisions about their environment. When asked about who makes the decisions in the hiring process, they noted that this depended on the level of the hire. If administrative staff was hiring, the city manager would leave the decision up to the individuals that would

have to work with the incoming hire. If there was going to be a new department head, the city manager was directly involving in going through the applications.

The interviewees indicated that there was a fair amount of discretion within the office. As noted, department heads were free to run their department as they saw fit. Yet at one point, the city manager said "...but they know who is in charge." The manager's office has a formal procedure for problems. Human Resources gets involved and provides advice and mediation if necessary. Information is shared with all members of the organization via daily e-mails.

Returning to the categories of organizations developed by Thompson and Tuden (1959), this organization falls partially within the parameters of a hierarchical organization and partly in an egalitarian organization. No organization fits within an ideal type, but returning to figures 4.1 and 4.2 (above), the themes align with both the hierarchical and the egalitarian organization. The varying themes that emerged that align with the hierarchical pyramid include a city manager empowered to make decisions or to allow the department heads to make decisions (decision rules), specialized tasks by department (specialization), and the ability of the manager to override the discretion of others in the office (discretion). The themes that emerged which align with the egalitarian organization include a process in place for resolving conflicts (conflict resolution), an articulated preference for discretion by the interviewees (discretion), and information shared with all members of the

organization via e-mail (information sharing). Since the themes matched three out of four characteristics for both type of organizational structure it is labeled it as both. The themes missing from this organization were participation and representation.

Espoused Values

The espoused values of Org5 come from its organizational literature and from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The core of each statement is contained in Table 4.14 below. Each statement has been coded with one theme (or value) listed on the table.

Table 4.14 Org5 within-case analysis: espoused values

Theme	**Statements**	**Value**
Obedience to Authority	none	NA
Obedience to Rules	none	NA
Winning	none	NA
Equality	none	NA
Flexibility	none	NA
Creativity	none	NA
Other	opportunity for employee participation in the decision-making process	Participation
	providing a quality environment of strong identity and pride where a diversity of people can safely live, work, shop and enjoy a variety of leisure activities	Working Environment
	government should be a part of, and not apart from, the community it serves, striving to develop an open atmosphere of public awareness and information	Community
	the concept of "community before government", where the interests of citizens are the first consideration in the governmental decision-making and intergovernmental-agreement process	

Table 4.14 (Con't.)

Theme	Statements	Value
	providing a quality service delivery to the community, a service which is sensitive and responsible to citizen needs and expectations, and which is effective in terms of achieving desirable impacts within the community	Customer Service
	the concept of fiscal responsibility, where a stable tax base exists, and where governmental expenditures are not wasteful, but are efficient in terms of maximum return for the dollar, and are responsible in terms of spending within established budget parameters	Fiscal Responsibility

Table 4.14 (Con't.)

Theme	Statements	Value
	maintaining a government which is progressive and innovative, where professionalism, honesty and integrity prevail, where pride in work and credibility are of paramount importance, where effective planning for sociological, technological, and economic change is a constant process, and where the freedom to exercise professional judgment is encouraged and supported	Professionalism
	good government starts with good employees, and to maintain both, the prevailing management philosophy must embody the following elements: an atmosphere of sincere, people-oriented management	Employees

None of the data collected on espoused values contained any reference to the themes or values suggested above. The themes that did emerge were participation, working environment, community, customer service, fiscal responsibility, professionalism, and employees.

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational situations. Interviewees were asked to indicate typical problems that arose within their organization. It is important to remember that these had to be problems internal to the organization and not problems dealing with the public. The object was to get interviewees to explain how individuals reacted or behaved during these problematic situations. The specific problems discussed had to do with customer service. Table 4.15 displays the statements related to behavior.

Table 4.15 Org5 within-case analysis: latent values

Theme	Statements	Value
Obedience to Authority	the employees know who is charge and that he has the power to make the decisions and they accept his decisions - however, he does not make decisions in isolation	Obedience to Authority
Obedience to Rules	none	NA
Winning	none	NA
Equality	these kinds of decisions are often made group rather than by the city manager - his philosophy to encourage "equality" among the employees	Equality
	lack of respect for others is not tolerated	
Flexibility	none	NA
Creativity	NA	NA

Table 4.15 (Con't.)

Theme	Statements	Value
Other	we quickly got together to decide how to manage the problem and decided to divide them between the 11 of us in the office -even the city manager took calls	Cooperation

The snowstorms around Christmas 2006 caused a flood of customer complaints to the city manager's office. First, city officials were called on to help all of the non-city residents stuck on the highway. Second, calls came in from city residents about inadequate snow removal. They received many calls that were not within their jurisdiction. For example, one woman was irate that non-governmental organization had not removed snow around a bus stop on its property. It became clear that the individual whose job was to take these incoming calls could not possibly deal with all of the calls. All 11 individuals in the office that day called a quick meeting and decided to split the calls between them. They then went into the city manager's office to get approval of this plan. He approved this strategy. The interviewees noted that the group as a whole often makes these kinds of decisions and that the city manager likes to promote equality among the employees in his office.

The example of a problematic situation was adequate for the purposes of looking at problems internal to this organization. Although the calls in the situation came from the public, the interviewees described how they handled this type of

problem internally. In this specific situation we directly asked the interviewees whether this was of the typical way problems were solved within the office and they said that it was. The specific themes that emerged were both obedience to authority, as well as, equality, and cooperation.

Organization Six (Org6)

Org6 is also a city, specifically a city managers office in metro Denver. As noted in Chapter 3, this city has a new city manager who had been there less than a week when the interview was conducted. Therefore, the interim director, who is also the head of parks and recreation, and the police chief participated in this interview rather than the city manager. Te interim city manager set up the interview. We met in his office and the door was shut. Although there was the potential for having a difficult time getting information given the turmoil in the city, this was not the case. It seemed almost therapeutic for the interviewees. It should be noted that the interviewees knew the mayor of the city was a friend. As a result, credibility and rapport were granted that may not have not been given if they were speaking to a stranger. They invited further questions and comments and one of the interviewees even sent written out answers to almost all of the questions asked.

Technology and Task

This organization has been in turmoil: in the last seven years, it has gone through three full time city managers (the new one is the fourth) and two interim city managers. In addition, the city council is highly political, highly polarized, and highly divided. Any one department attempting to secure resources may have to play a political game. The main task of the city manager was described to me as working with leadership and senior teams to strategize policies and work plans. Table 4.16 analyzes statements about technology and task.

Table 4.16 Org6 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	different departments in the city have specialized tasks - with a new manager it is hard to say how he will organize his office
	HR is in charge of hiring – and each department head fills open positions
Information Sharing	e-mail and staff meetings
Decision Rules	only the CM can add positions to payroll
	the city manager is responsible for running and operating the city on a day to day basis and most decisions are up to him
	since this position has had a lot of turnover, there has not been consistency in the decision-making process. Routine and daily operations have been pushed down the organizational chain to department heads
	the management team makes most of the decisions

Table 4.16 (Con't.)

THEME	STATEMENTS
Discretion	there is typically room for discretion outside of ordinances
	there are not a lot of polices and procedures for the city – although various departments (such as police) may have them
Participation	none
Representation	department head represent their department to the city manager
Conflict Resolution	there has been competition for resources

The interviewees explained that ordinarily the city manager would be the ultimate decision-maker in running and operating the city, in hiring new individuals, and in overseeing the daily task required in the office. However, in the absence of a regular city manager, these responsibilities have been pushed down to the department heads and they have had to try to work together to accomplish the city's goals. There is some degree of specialization since the department heads represent their own interests (parks and recreation, public works, human resources, etc.) There are not many policies and procedures outside of hiring, and these department heads have room for discretion about how to organize their department. There has not been a city manager for them to go to who could combine their various interests. Unfortunately, this has led to a competition for resources and for political favor of the city council members.

Returning to the categories of organizations developed by Thompson and Tuden (1959), this organization falls within the parameters of a pluralist organization. Although no organization fits within an ideal type, returning to figures 4.1 and 4.2 (above), the themes align with the pluralist organization. The interviewees noted that it is in the best interest of each faction to reach some degree of agreement before going to the interim manager and/or council because of the contentious political environment. The varying themes that emerged were the desire to work together for the good of the city (conflict resolution), equal access to information (information sharing), and representation of each department to the city counsel in the competition for resources (representation). Thompson and Tuden suggest that each group in a pluralist organization should have veto power (participation) and this is not the case in Org6. As a result, it is not a perfect match with a pluralist organization. Specific themes are missing from the other organizational types - especially decision rules. If there were a city manager in place long enough to maintain order the situation might be different.

Espoused Values

The espoused values of Org6 come from organizational literature and from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The core of each statement is contained in Table 4.17 below. Each statement has been coded with one theme (or value) listed on the table.

Since these no discussion about the meaning of themes or values took place, I am taking them at face value in this part of the analysis. However, this will be discussed more in the concluding chapter.

Table 4.17 Org6 within-case analysis: espoused values

Theme	**Statements**	**Value**
Obedience to Authority	NA	NA
Obedience to Rules	NA	NA
Winning	NA	NA
Equality	NA	NA
Flexibility	NA	NA
Creativity	NA	NA
Other	Performance	Performance
	Results	Results
	Involvement	Involvement
	Dedication	Dedication
	Enthusiasm	Enthusiasm

None of the data collected on espoused values contained any reference to the themes or values suggested above. The values above were simply listed as the city's values without any further explanation. The themes, explicitly espoused in the city's literature, were performance, results, involvement, dedication, and enthusiasm (P.R.I.D.E.).

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational situations. Interviewees were asked to indicate typical problems that arose within their organization. It is

important to remember that these had to be problems internal to the organization and not problems dealing with the public. The object was to get interviewees to explain how individuals reacted or behaved during these problematic situations. The specific problem discussed was limited resources and under-funded programs. Table 4.18 summarizes the statement about behavior.

Table 4.18 Org6 within-case analysis: latent values

Theme	Statements	Value
Obedience to Authority	none	NA
Obedience to Rules	none	NA
Winning	organizational department heads have been forced to compete for resources	Winning
	people get defensive and argue that they cannot accomplish their tasks	
Equality	none	NA
Flexibility	none	NA
Creativity	this requires constant justification and innovation	Creativity
	people have really began to think out of the box in terms of ways to secure resources	
Other	refusing to accept alternative means would not be accepted -we all have to find ways to do this at times	Group Adherence

Cities in Colorado get a very large portion of their revenue from sales tax. The interviewees noted that this city is boxed in and has very limited opportunities

for growth. In addition, in recent years there have been mandated changes coming down the pike that have not been consistently funded. Unfortunately, the absence of a long-term city manager to oversee the distribution of funds has meant that department heads feel as if they must compete for financial resources. The interviewees explained that the city council was really active in ensuring that the police department received funds but that the rest of the department heads felt that they had to justify why their department should receive funds over another department. For example, one interviewee said, "It is hard to justify why the city should put money into parks and recreation when there are potholes to be fixed." When asked about how people reacted to this situation, the interviewees said that individuals tend to get defensive and to argue. Many of them claim that they cannot accomplish their tasks without proper funding. They further explained that individuals have become very creative and innovative in the ways they validate the resources they need. In the end, they noted, every individual has to find a way around the funding problem. Every program is under-funded. This is part of working for the city.

The problems discussed by the interviewees in Org6 were good examples of internal problems and the interviewees did a thorough great job of detailing how individuals reacted and behaved in the face of these problems. Unfortunately, the reason it was easy for them to come up with specific internal problems is because

they are facing a lot of problems. The specific themes that emerged were winning, creativity, and group adherence.

Organization Seven (Org7)

Org7 is an organization in Denver that seeks to end homelessness. The director was contacted to set up the interview and it took place in his office. Originally this had been set up to be a group interview. Other program staff members were in and out and the door was open and many people stopped by to say hello or add a comment. However, the interview did turn into a conversation between the director and the interviewer. The mood was very friendly but also very busy. Cell and office phones were constantly ringing. I followed the interview protocol. The director explained that it was fun to answer these types of questions - he is used to having to answer questions about the effectiveness of the program or about how funds are spent. The director is a doctoral student, in the same program and although he is not at all familiar with the theory being tested here, he certainly is familiar with a lot of organization theory. His comments below reflect this.

Technology and Task

The main daily task is overseeing the implementation of the program and this includes working with volunteers and contractors who provide services, evaluating which services are working and which are not, and fundraising. Table 4.19 analyzes statements about technology and task.

Table 4.19 Org7 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	none
Information Sharing	mass media, e-mail, community meetings, coalition meetings, the website
Decision Rules	this is an egalitarian organization – we include ideas from all viewpoints from the homeless individuals we are serving to the business leaders to volunteers to all 41 coalition members
	all decisions are open to discussion - results are more important than method
	"This is a living and breathing demonstration of public participation"
Discretion	if a grantee comes to us and says this is not working the way we thought it would, it does not mean we stop funding them - if they have a better idea about how to accomplish something or if they can provide a service that benefits the homeless population, we are willing to revise the guidelines
Participation	ideas are sought from everyone involved with the project
Representation	NA
Conflict Resolution	when something like this occurs we try to bring everyone together so we can communicate

The most striking statement coming out the interview was "This is a living and breathing demonstration of public participation." The interviewee self identified Org7 as egalitarian, and the characteristics that he described are consistent with Thompson and Tuden's (1959) descriptions. The office that houses this program as only five employees, but there are also 41 board members, numerous service

providers, and countless volunteers that are part of the larger organizational membership. This includes homeless individuals. The exact boundaries of this organization are not clear. I was inclined to consider the organization as the office and the board. The interviewee tended to refer to services providers as "the organization." The interviewee discussed how ideas come from everyone involved in the project, although it should be stated that at no point has everyone involved in this organization been in the same room at the same time. Information is sent out via mass media, e-mails, community meetings, coalition meetings, and is available on the website. The interviewee noted that anyone who wanted information about programs or evaluation was welcome to have it and that they tried to provide it in many forms.

There is, of course, specialization of service providers but none in the office itself. Decisions about how finances should be allocated are made by the resource allocation committee (unfortunately no one from this committee was in attendance or even in the building). The resource allocation community is made up of business leaders, community members, philanthropists and homeless individuals. Their decisions are also consensus based and the mayor has accepted their recommendations without revision. Outside of the resource allocation, other decisions are also consensus based. For example, the interviewee explained that if a grantee came and said that a program was not working as she/he thought it should,

the grant would not necessarily be taken away. He recounted one instance in which the grantee intended to serve a certain population but found those that came in for services were not of that population. The members of the office helped him re-do his grant guidelines so that that he could continue to provide that service to those that were showing up. Results, he insisted, are more important than the process. The goal is to get homeless people off the street.

Returning to the categories of organizations developed by Thompson and Tuden (1959), this organization falls within the parameters of an egalitarian organization. Although no organization fits within an ideal type, returning to figures 4.1 and 4.2 (above), the themes align with the egalitarian organization. The varying themes that emerged included the willingness to get out information to everyone in involved with the organization (information sharing) and inclusive decision-making (participation). The interviewee also noted that when problems arise they try to bring everyone together, although it was not clear that there was a formal process for handling conflict (conflict resolution). Evidence that they had some ideas about how to resolve conflict resulted in labeling the organization as an atomistic individualistic organization. The interviewee did not make any statements about discretion. The absence of themes in decision rules ruled out labeling the organization as hierarchical. Figure 4.1 shows that pluralist organizations include

veto power in the theme of participation. This is clearly absent within Org7 so it is not pluralist. In the end, the egalitarian organization was the closet fit.

Espoused Values

The espoused values of Org7 come from organizational literature and from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The core of each statement is contained in Table 4.20 below. Each statement has been coded with one theme (or value) listed on the table.

Table 4.20 Org7 within-case analysis: espoused values

<table>
<tr><th>Theme</th><th>Statements</th><th>Value</th></tr>
<tr><td>Obedience to Authority</td><td>none</td><td>NA</td></tr>
<tr><td>Obedience to Rules</td><td>none</td><td>NA</td></tr>
<tr><td>Winning</td><td>none</td><td>NA</td></tr>
<tr><td>Equality</td><td>none</td><td>NA</td></tr>
<tr><td>Flexibility</td><td>none</td><td>NA</td></tr>
<tr><td>Creativity</td><td>none</td><td>NA</td></tr>
<tr><td rowspan="3">Other</td><td rowspan="3">compassion, kindness, “the right thing to do,” also the smart thing to do (saving the city money)</td><td>Compassion</td></tr>
<tr><td>Kindness</td></tr>
<tr><td>Efficiency</td></tr>
</table>

None of the data collected on espoused values contained any reference to the themes or values suggested above. The themes that did emerge were compassion, empathy, and efficiency.

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational problematic situations. The

specific problematic situations discussed were failures in communication and individuals that take on unnecessary risks. Table 4.21 shows statements as they related to behavior.

Table 4.21 Org7 within-case analysis: latent values

Theme	Statements	Value
Obedience to Authority	none	NA
Obedience to Rules	none	NA
Winning	none	NA
Equality	after they approached us and became involved we had to re-design the meters (they would not allow logos on the meters)	Equality
	disrespect of anyone involved with the project is not tolerated - we encourage everyone to bring their issues to the table - we try to stress that it is alright to disagree but it is important to be here to talk things out	
Flexibility	none	NA
Creativity	none	NA

Table 4.21 (Con't.)

Theme	**Statements**	**Value**
Other	when something like this occurs we try to bring everyone together so we can communicate. We stress the importance of the partnership - we try to build relationships with individuals so that they feel comfortable coming to us to say…. "hey, you forgot us" - we encourage everyone to bring their ideas here and want them to expect a response from us	Communication (and Equality)

The director noted that business leaders in the community are often stereotyped in the opposite way that homeless individuals are. Many of the business leaders in Denver are involved because they believe in compassion not just because it is in their financial interests. He recounted the story of one business leader who, when asked for money, put the individual in his car and drove him to the closet shelter. The interviewee noted that this was probably not a safe decision and that they try to communicate with the group about the most effective and safe ways to help the homeless.

A bigger problem faced by Org7 is communication. With so many different individuals and organizations involved, it sometimes happens that someone who

should have been included is left out of the decision-making discussion. This happened recently in a parking meter project. The organization intends to put parking meters in highly traveled pedestrian walkways so the individuals can donate their spare change to the organization (they would rather they do this than give it to homeless individuals for long term reasons). However, they mistakenly forgot to include a downtown Denver business organization. The organization came to them and said, "Hey, you forgot us." They were promptly added to the project. However, their organizational guidelines would not allow them to sponsor anything with logos. The parking meters had to be re-designed. The interviewee noted that they worked on making all individuals involved feel comfortable coming to them and talking out differences and ideas. The only behavior that they reported as unacceptable is disrespect of anyone in the project.

The examples of problematic situations described by the interviewee provide good examples of how people react to problems in Org7. It is easy to see how communication will continue to be an issue, given the fact the organizational members are rarely in the same place and given the hectic climate. The specific themes that emerged were equality and communication.

Organization Eight (Org8)

Org8 is a coalition of individuals representing their town or county in an effort to create a system of mass transit along the major east-west corridor through

the Rocky Mountains. Org7 is truly a bottom-up grass roots organization that formed organically. A number of different individuals noted that something had to be done about the Highway I-70 traffic problem through the mountains so they started getting together and formed the following five goals:

1. Serve as a collective voice for the I-70 Central Mountain Transportation Corridor and adjoining dependent counties and municipalities in addressing transportation issues.
2. Develop a regionally preferred transportation plan with locally accepted solutions.
3. Enhance employer, business entity, property owner and local government participation and investment in transportation services and programs.
4. Increase awareness of locally preferred transportation plans among citizens, federal and state legislative bodies, and transportation agencies.
5. Advocate for the application of best practices and technologies to the regionally preferred transportation plan.

The organization has monthly meetings and only one paid employee, the director. She was the point of contact for this organization. The rest of the coalition, from 36 different counties, is made up of volunteers and interested parties. The interview took place in Denver at a quiet restaurant. She resides in Summit County and was going to be in Denver for a meeting so we selected a place where we could talk. The interview protocol was followed exactly and she was very forthcoming and open. It is important to re-state that although she is the director, she is not a voting member of the organization. When the organization formed, members knew that

they would need a director to carry out their goals. She describes herself as an employee of the organization as opposed to a member of it. She believes that as the organization evolves it will need a technical director (knowledgeable about transportation technologies) and she will step down at that time. For now, it needs a director to help the organization delineate goals and to deal with the political dimensions of pursuing these goals. Her role gives her a unique perspective.

Technology and Task

The main tasks of the organization are planning, information gathering, securing funding, and meeting with public and private officials. An interesting aside: this organization is in the process of becoming a 501 C 6 organization. They just came to consensus on this understanding a few months ago. The interviewee noted that the organization is evolving and that a 501 C 6 will not likely be its ultimate structure. Prior to the decision to incorporate, the organization was housed under another transportation authority and did not have a formal structure other than being a consensus-based organization. Table 4.22 analyzes statements about technology and task.

Table 4.22 Org8 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	none
Information Sharing	information is shared with all members of the coalition and is distributed at the meetings or via electronic communication before or after a meeting
Decision Rules	there are now a set of guidelines that delineate the work to be done - however, these have not been implemented
	the entire group must reach consensus - there is a board of directors but they have the same amount of influence and power as everyone else. The board often has to more of the work but do not have any additional power or influence
	the director occasionally has to remind the director/committee that this is a consensus organization -decisions are NOT made by voting
	decisions are made by the entire membership - members have a variety of motivations for participating – most to protect the interests of their county

Table 4.22 (Con't.)

THEME	STATEMENTS
Discretion	none
Participation	the entire membership of the coalition must agree whether or not to hire an individual - they have just decided to hire an administrative assistant to assist the director (probably part time but no one has been hired yet)
	the entire membership is responsible for making decisions and all decisions are made by consensus
	they work individually and collectively - some try to work with CDOT individually through their county – however, it is not clear that they always put the goals of the coalition first in this relationship
Representation	none
Conflict Resolution	consensus means "can everyone live with this?" If someone says no then the item keeps being discussed and re-defined until everyone can live with it. However, up until this point many of the agreements have been about the organization itself and the process of moving ahead. They have not yet encountered decisions about exact plans and technologies for moving ahead
	all disagreements are raised at the meetings and discussed

All decisions of this organization are reached by consensus and the interviewee explained that this is very different than from voting. She stated, "Consensus means, 'Can everyone live with this?" If someone says no then the item

keeps being discussed and re-defined until everyone can live with it." Those involved in the organization have numerous reasons for being involved – in other words a variety of preference scales exist. Some individuals represent cities and counties that would like to see the traffic problem fixed, some want to protect the natural environment, some want to increase their customer base with more efficient transportation, and still others want to make sure any plans would have a minimal effect on their communities. The incentive for group problem-solving comes from the fact that the Colorado Department of Transportation (CDOT) has not made this corridor a priority and that, without working together, one group may be petitioning CDOT to add lanes to the highway while the other may be petitioning against such an expansion. Of course, all of the representatives arrive with the knowledge and information about their situation and preferences and no single individual can consistently hold all of the individual priorities up as goals. The monthly meetings allow each individual, however, to voice his/her concern and opinion. The director also sends out informational e-mail messages.

Returning to the categories of organizations developed by Thompson and Tuden (1959), this organization falls closet to the parameters of an atomistic individualistic organization. Although no organization fits within an ideal type, returning to figures 4.1 and 4.2 (above), the themes seem to align with the atomistic individualistic organization. The varying themes that emerged were a variety of

preference scales (noted by Thompson and Tuden as characteristic of this type of organization on Figure 4.1), the sharing of information with all members of the organization (information sharing), and participation in every decision by every group member (participation). There is no specialization of leadership and no formal enforcement of any rule other than consensus (specialization and decision rules) so it is clearly not a hierarchical organization. The individuals do represent a variety of interests but the lack of veto power by any one interest and lack of formal rules of conflict resolution excludes the pluralist and egalitarian labels. Many individuals with varied interests have found an incentive for collective action. Their reasons for participating are varied. As noted, they are in the process of developing guidelines as part of their incorporation and the interviewee said that she believes having to put their preferences in writing may change the structure of the organization. However, this remains to be seen.

Espoused Values

The espoused values of Org8 come from organizational literature and from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The core of each statement is contained in Table 4.23 below. Each statement has been coded with one theme (or value) listed on the table.

Table 4.23 Org8 within-case analysis: espoused values

<table>
<tr><th>Theme</th><th>Statements</th><th>Value</th></tr>
<tr><td>Obedience to Authority</td><td>none</td><td>NA</td></tr>
<tr><td>Obedience to Rules</td><td>none</td><td>NA</td></tr>
<tr><td>Winning</td><td>none</td><td>NA</td></tr>
<tr><td>Equality</td><td>none</td><td>NA</td></tr>
<tr><td>Flexibility</td><td>none</td><td>NA</td></tr>
<tr><td rowspan="3">Other</td><td rowspan="2">the primary values are economic and environmental - while resort communities want to find a more efficient way of getting people to their communities, other counties are more worried about protecting the environment and do not want any technology that would mean a wider corridor</td><td>Economics</td></tr>
<tr><td>Physical Environment</td></tr>
<tr><td>this does not mean that the resort communities are not concerned with the environment - however, for some communities on the corridor the primary value is not economic</td><td>Physical Environment</td></tr>
</table>

None of the data collected on espoused values contained any reference to the themes or values suggested above. The themes that did emerge are the economy and the physical environment.

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational problematic situations. The specific problems discussed were the relationship with CDOT and the fact that individual interests and the interests of the organization are sometimes at odds with each other. Table 4.24 outlines statements related to the behavior of individuals.

Table 4.24 Org8 within-case analysis: latent values

Theme	Statements	Value
Obedience to Authority	none	NA
Obedience to Rules	none	NA
Winning	none	NA
Equality	none	NA
Flexibility	this means that while they come to the coalition and agree to move forward with mass-transit they may also be individually asking CDOT to create a 6 lane highway in their county	Flexibility
	the two underlying constants in this process are creativity and openness	Communication
	the two underlying constants in this process are creativity and openness	Creativity
Other	none	NA

One of the main problems faced by member of the organization is getting CDOT to work with them and get on board with the aspirations of the organization. The interviewee said that organization members were creative in this relationship. They invite CDOT to some of their meetings and tend to raise the least contentious items first in an effort to get CDOT on board. This may seem more strategic than creative to readers. The interviewee categorized this as creative multiple times during the interview. The interviewee said, "The two underlying constants in this process are openness and creativity." A second problem discussed is that not all of the individual interests can be realized. For this reason, individuals work on the problems individually as well as collectively. The interview explained that they are not doing this to undermine the organization. Rather, they want another alternative in case this does not work out.

The second problem discussed by the interviewee offers a better opportunity to understand problematic situations internal to the organization. The fact that the interviewee mentioned creativity so many times was reason enough to bring it into the analysis. In reference to the problem of individual interests, the interviewee noted that the idea of consensus means they have to work together to align these interests. The only other option is leaving the organization. When I asked if this had happened, she noted that there have been a few individuals who have left the group

because they did not like the direction in which it was going. The specific themes that emerged were flexibility, communication, and creativity.

Organization Nine (Org 9)

Org9 is a city ethics commission. They also only have one employee, and this individual was the contact for the interview. Originally the interview was scheduled with the entire commission. However, the meeting was canceled twice. The interviewee in one of the boardrooms in the city and county building. He was very forthcoming and very proud of his position. He came ready to share information about the task of the commission and the city code of ethics. The mood was very friendly. I followed the interview protocol. I am confident that I had almost instant rapport and this individual has contacted me several times since this interview to invite me to commission meetings.

Technology and Task

The commission is appointed by the mayor. Their task is very limited. Based on the city code of ethics, they are asked to give advice on ethically problematic situations relating to the city's code and are also asked to make judgments on ethical complaints. The members are volunteers that meet once a month. They are all lawyers and judges. Even the interviewee was trained as a lawyer. The city code of ethics is fairly limited to conflict of interest guidance and they do not officially offer advice outside of this code. The interviewee noted that

70 percent of their casework was advisory and 30 percent has to do with issuing judgments. Table 4.25 analyzes statements about technology and task.

Table 4.25 Org9 within-case analysis: technology and task

THEME	STATEMENTS
Specialization	NA
Information Sharing	agenda packet once a month, quarterly newsletter, e-mails, monthly board meetings
	all members have equal access to information though it is usually compiled by the director
Decision Rules	all decisions are reached by consensus
	internally the board decides as a group their advice or decisions
Discretion	decisions are usually about 3rd parties and the one sticky point is that they are not binding
Participation	NA
Representation	NA
Conflict Resolution	NA

There is no degree of specialization on the board; the interviewee explained that they sit on the board as equals. Information, such as requests for advice or ethics complaints, is received by the interviewee throughout the month. He puts them together along with any supporting materials and distributes them in an agenda packet via e-mail to the other committee members. All decisions are each by discussion and consensus.

Returning to the categories of organizations developed by Thompson and Tuden (1959), this organization falls within the parameters of an egalitarian

organization. Although no organization fits within an ideal type, returning to figures 4.1 and 4.2 (above), the themes seem to align with the egalitarian organization. The varying themes that emerged included a process for conflict resolution, information shared with everyone in the organization, and participation by all members of the organization. At least one theme related to the hierarchical model was specifically absent (specialization). They are clearly not representing any faction nor is veto power a factor, so it is not a pluralist organization. The reason I did not label this an atomic individualist organization is two fold. First, they do have an informal process for conflict resolution and, furthermore, they do not come with a multitude of preferences. They are all there to give ethical advice, based on the city's code of ethics, to those who ask for it.

Espoused Values

The espoused values of Org9 come mainly from comments made during the interview in response to question 20 on the interview protocol (see Appendix B). The organizational literature contains the city code of ethics but this is somewhat different from their organizational values. The core of each statement is contained in Table 4.26 below. Each statement has been coded with one theme (or value) listed on the table. Since these no discussion about the meaning of themes or values took place, I am taking them at face value in this part of the analysis. This will be discussed more fully in the concluding chapter.

Table 4.26 Org9 within-case analysis: espoused values

Theme	Statements	Value
Obedience to Authority	NA	NA
Obedience to Rules	NA	NA
Winning	NA	NA
Equality	NA	NA
Flexibility	NA	NA
Creativity	NA	NA
Other	we would like every employee to feel comfortable asking about and talking about ethics without feeling frightened	Openness
	we would like to find a way to give whistle blower protection	Security
	to be preventative – this is the product of education and successful advice	Prevention
	we want to protect public confidence in government	Public Opinion

None of the data collected on espoused values contained any reference to the themes or values suggested above. The themes that did emerge were openness, Security, prevention, and public opinion.

Latent Values

Latent values were analyzed based on statements made about how individuals within the organization reacted during organizational problematic situations. The specific problems discussed were finding a time when everyone could meet and conflicts of interest. Table 4.27 displays statements about behavior.

Table 4.27 Org9 within-case analysis: latent values

Theme	**Statements**	*Value*
Obedience to Authority	NA	NA
Obedience to Rules	NA	NA
Winning	NA	NA
Equality	keep working on it until all of us can get together	Equality
	lack of respect for each other is not acceptable – though it has never been a problem	
Flexibility	NA	NA
Creativity	NA	NA
Other	the rest of the group comes to consensus and allows that person to refrain from participating	Integrity

The most common problem that arises is coordinating combining five busy schedules and finding a time to meet. In fact, the meeting originally scheduled, planned over a month in advance, was cancelled the night before. The process for resolving this, however, is just to keep working on it until a time can be found. A more relevant problem to this research was the occasional conflict of interest. Every, so often a complaint or request for advice will come in from or about an individual whom one of the committee members knows personally. The way this has been handled has been for the committee member to say she/he does not want to participate in the decision and the rest of the group has allowed that individual to refrain from the discussion. The interviewee also noted that the committee members

have a lot of respect for each other and take each other's ideas and opinions very seriously.

These problem situations may seem trivial. However, this particular organization simply does not face many problems internal to their organization. They deal with ethical complaints, which can be problematic, but these are external problems. The specific themes that emerged were equality and integrity.

Cross-Case Analysis

After careful coding of the themes within each case (above), a cross-case analysis reveals how these themes line up across-cases.

Technology and Type

First, Table 4.28 displays a summary of the organizational type each case aligned with using the descriptions of Thompson and Tuden (1959).

Table 4.28 Cross-case analysis: technology and task

Hierarchical Pyramid	Org2
	Org3
	Org4
Pluralist	Org6
Egalitarian	Org1
	Org7
	Org9
Atomistic Individualism	Org8
Hierarchical/Egalitarian	Org5

Analysis reveals that out of the nine cases the categories of hierarchical pyramid and egalitarian organization were the most common, with 3 each. One case, Org5, fell in

between the categories of hierarchical pyramid and egalitarian organization. The categories of pluralist organization and atomistic individualism are only populated with one case each.

Espoused Values

A multitude of espoused values revealed themselves in the within-case analysis. It is interesting to discover that none of the cases displayed any of the values suggested above as being related to an organization's structure, with the exception of creativity. Table 4.29 displays all of the themes that emerged as espoused values, the case that the theme came from, and the organizational category of each case.

Table 4.29 Cross-case analysis: espoused values

Value	**Organization** (h = hierarchical, p = pluralist, e = egalitarian, a = atomistic individualism)
accountability	1(e), 3(h)
community	1(e), 3(h), 5(h/e)
compassion	7(e)
creativity	3(h)
customer service	1(h), 2(h), 5(h/e)
dedication	6(p)
dignity	4(h)
economics	8(a)
efficiency	7(e)
empathy	3(h)
employees	3(h), 5(h/e)
enthusiasm	6(p)
ethics	1(e)
fiscal responsibility	5(h/e)
honesty	1(e), 3(h)
identity	1(e)
innovation	4(h)

Table 4.29 (Con't.)

Value	**Organization** (h = hierarchical, p = pluralist, e = egalitarian, a = atomistic individualism)
integrity	3(h)
involvement	6(p)
Security	9(e)
kindness	7(e)
life	3(h)
openness	4(h), 9(e)
participation	5(h/e)
performance	6(p)
physical environment	8(a)
prevention	9(e)
pride	1(e)
professionalism	3(h), 4(h), 5(h/e)
public safety	4(h)
results	6(p)
teamwork	4(h)
tradition	2(h)
working environment	5(h/e)

Most of these themes, or values, only appear once – twenty-seven of the thirty-four themes occur only one time. There are four instances of themes that fit two cases. These are accountability, employees, fiscal responsibility, and openness. There are three instance of a theme that emerged in espoused values three times. These are community, customer service, and public safety. Suggestions about the meaning of espoused values and conclusions about the relationship between structure and these values can be found in the concluding chapter.

Latent Values

Fewer themes emerged using within-case analysis for latent values. The within-case analysis unveiled all of the values suggested above as being related to an organization's structure. Table 4.30 displays the latent value themes, the case number, and the organizational category of each case.

Table 4.30 Cross-case analysis: latent values

Value	**Organization** (h = hierarchical, p = pluralist, e = egalitarian, a = atomistic individualism)
Communication	1(e), 7(e), 8 (a)
Cooperation	1(e), 5(h/e)
Creativity	6(p), 8(a)
Equality	1(e), 5(h/e), 7(e), 9(e)
Flexibility	8(a)
Group Adherence	6(p)
Integrity	9(e)
Obedience to Authority	2(h), 3(h), 4(h), 5(h/e),
Obedience to Rules	1(e), 3(h), 4(h)
Self Preservation	2(h)
Winning	6(p)

The themes that emerged for latent values using within-case analysis occur with great frequency. There are a total of eleven themes. Five of these only appear once. However, there are two themes that emerge twice, including creativity and cooperation. There are two themes that emerge three times – obedience to rules and communication. And there are two themes that emerge four times. These are

equality and obedience to authority. Conclusions about the relationship between structure and these values can be found in the concluding chapter.

Closing Statements

It bears repeating that the goal of this cross-case analysis is to test a theory. As a result, data were analyzed using pre-determined categories that fit the theory being tested. As part of the analysis, statements relating to specific concepts were classified into these pre-determined categories and the analysis searches for patterns or themes within these categories. Therefore it should not be surprising that all of the pre-determined themes showed up in the latent values. It might be somewhat surprising, however, that none except creativity showed up in espoused values.

CHAPTER FIVE

CONCLUSION

Introduction

This final chapter of this will seek to draw conclusions about the theory that an organization's structure is related to organizational ethics. Values have been studied as measures of organizational ethics. In an effort to answer the two research questions -- does structure promote distinct values and do individuals display those values -- this chapter draws cross-case conclusions, offer other insights gained from the study, go over the limitations of the research, and finishes by suggesting future research questions related to this study. Before moving on to the cross-case conclusions, the results of the analysis in chapter four are summarized in Table 5.1.

Table 5.1 Results of cross-case analysis

Organization	Structure	Espoused Values	Latent Values
Org1	Egalitarian	Identity Pride Community Customer Service Accountability Honesty Ethics	Obedience to Rules Equality Cooperation Communication
Org2	Hierarchical	Tradition Customer Service	Obedience to Authority Self Preservation
Org3	Hierarchical	Integrity Professionalism Honesty Empathy Employees Accountability Creativity Community Life	Obedience to Authority Obedience to Rules
Org4	Hierarchical	Dignity Public Safety Openness Professionalism Teamwork Innovation	Obedience to Authority Obedience to Rules
Org5	Hierarchical/ Egalitarian	Participation Working Environment Community Customer Service Fiscal Responsibility Professionalism Employees	Obedience to Authority Equality Cooperation
Org6	Pluralist	Performance Results Involvement Dedication Enthusiasm	Winning Creativity Group Adherence

Table 5.1 (Con't.)

Organization	Structure	Espoused Values	Latent Values
Org7	Egalitarian	Compassion Kindness Efficiency	Equality Communication
Org8	Atomistic Individualism	Economics Physical Environment	Flexibility Creativity Communication
Org9	Egalitarian	Openness Protection Prevention	Equality Integrity

The cross case conclusions, below, will seek to compare the espoused and latent values across organizational type. The organizations coded as hierarchical will be examined first, followed by pluralist organizations, egalitarian organizations, atomistic individualist organizations, and finally by a hybrid hierarchical/egalitarian organization.

Cross-case Conclusions

Hierarchical Pyramid

There were three organizations that were coded as hierarchical: Org2, Org3, and Org4. These were a fire district and two police organizations respectively. Figure 5.1 shows the espoused and latent values for each of these organizations.

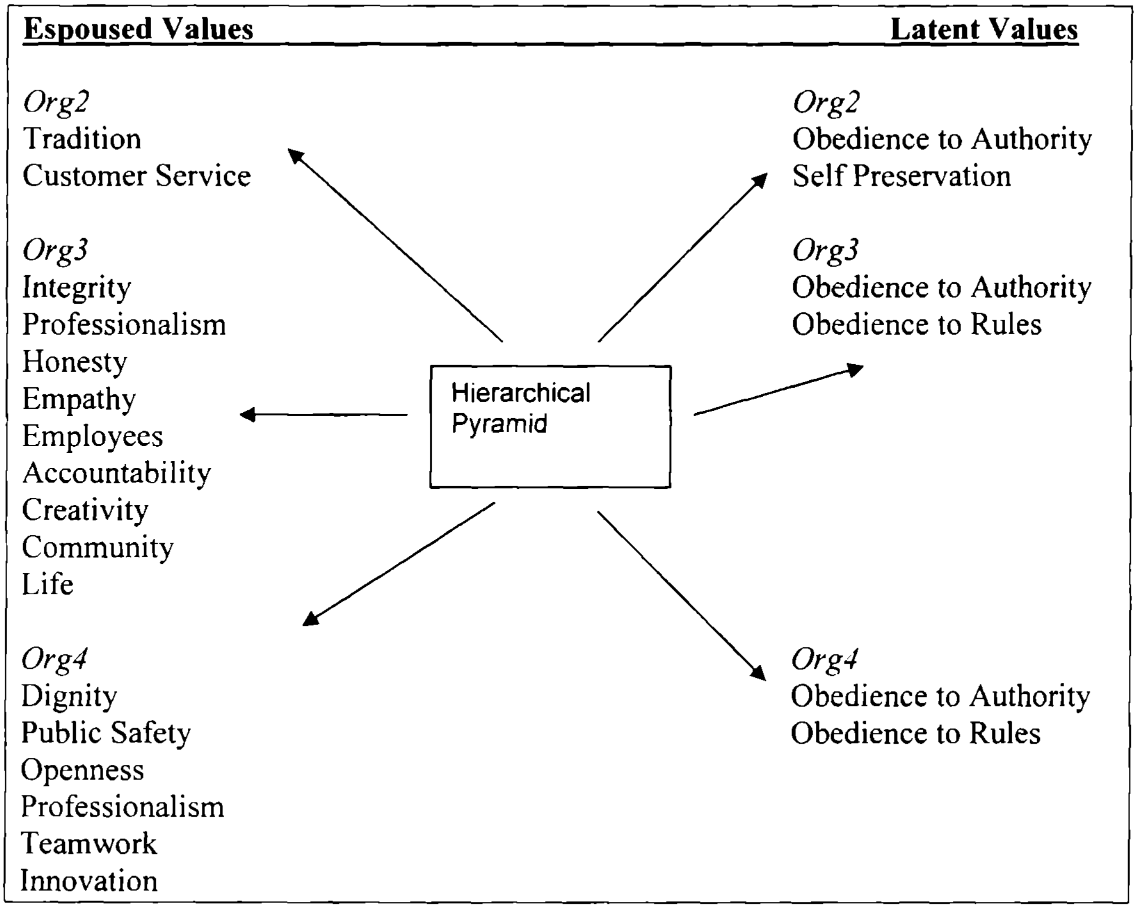

Figure 5.1 Hierarchical Pyramid

Figure 5.1 reveals that although these three organizations shared a categorization as hierarchical, the only shared theme in espoused values is professionalism (organizations three and four). However, these three organizations share themes in latent values. All three organizations share obedience to authority as a theme and two organizations (three and four) share obedience to rules.

Returning to the theory being tested, deLeon (1994) suggested that the ethic of the hierarchical pyramid was "discipline, obedience, and service." This research suggests that the values underlying the ethic were obedience to authority and obedience to rules. The research questions asked whether it was the case that a certain structure would display distinct values and whether individuals would display those distinct values. In the case of the hierarchical pyramid, the only espoused value clearly tied to structure is professionalism. Obedience to authority and obedience to rules are latent values displayed by individuals across cases. This evidence suggest that in terms of the hierarchical pyramid, the relationship proposed by deLeon does exist. It should be pointed out that it only exists in the basic assumptions of the organizations' cultures. Referring back to Schein (1984, 1985, 1996a, 1996b), this means that these values are influencing the behavior of individuals at a level below consciousness, and that they have become the unquestioned norms for the way things should be done around the organization. These unquestioned values clearly tie back to the ethic of "discipline, obedience, and service."

Pluralist Organization

There was only one pluralist organization uncovered in this investigation and this was Org6, a city manager's office in transition. Figure 5.2 shows the espoused and latent values for this organization.

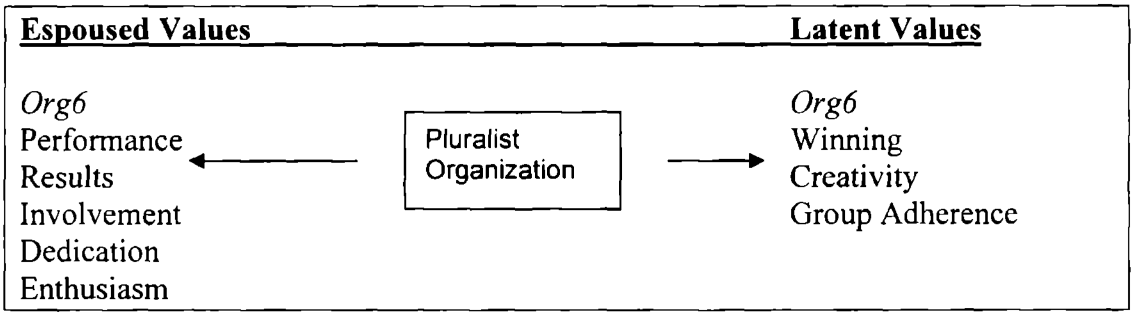

Figure 5.2 Pluralist Organizations

Since only one organization falls within this category, no cross-case conclusions can be drawn. Returning to the theory being tested, the ethic of the Pluralist organization was "rules of the game." This research suggested that the value underlying the ethic was winning. The research questions asked whether it was the case that a certain structure would display distinct values and whether individuals would display those distinct values. In the case of the pluralist organization, we can see that this one case does not display this value in the espoused values of the organization. The value of winning, however, appears in the latent values of the organization. This evidence suggests that in terms of the pluralist organization, the proposed relationship does exist, at least for this one organization. Group adherence and creativity also emerge as a latent values. Much like the hierarchical pyramid above, it exists in the basic assumptions of the organization's culture. Again, this means that these values are influencing the behavior of individuals without being conscious and that they have become the unquestioned norm for the way things

should be done around the organization. These unquestioned values clearly tie back to the ethic of "rules of the game."

Egalitarian Organization

There were three organizations that were coded as egalitarian: Org1, Org7, and Org9. These included a fire department, a coalition to end homelessness, and an ethics committee respectively. Figure 5.3 shows the espoused and latent values for each of these organizations.

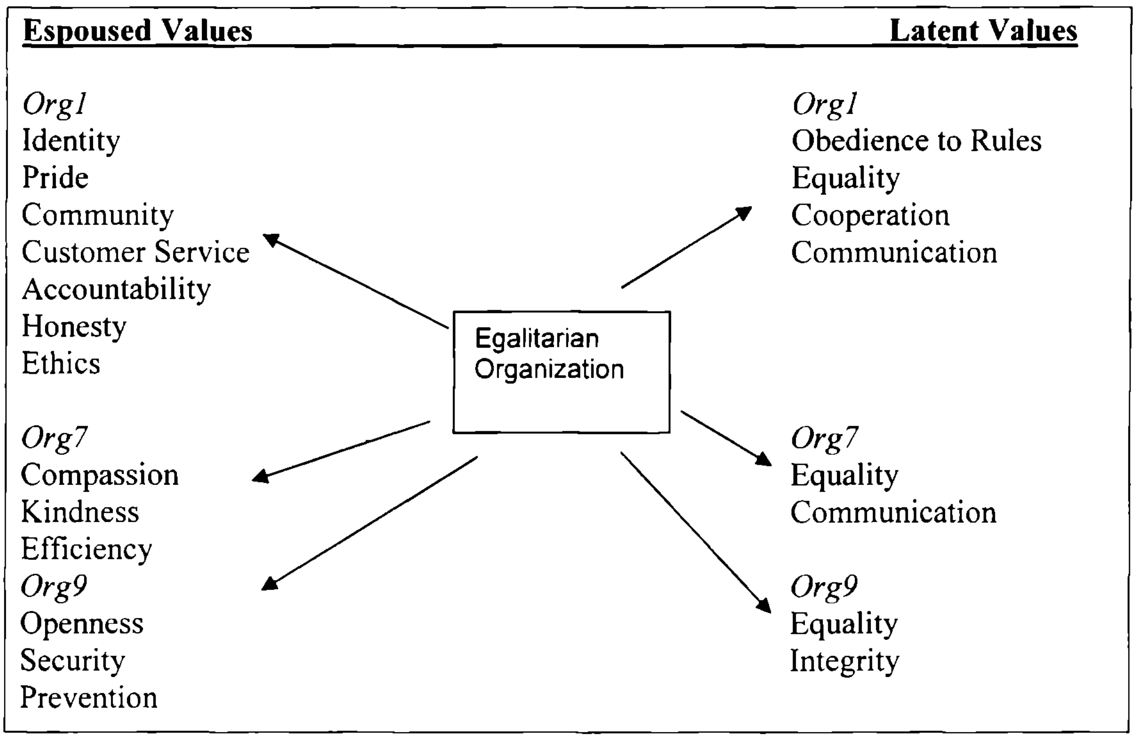

Figure 5.3 Egalitarian Organizations

Figure 5.3 reveals that although these three organizations shared a categorization as egalitarian, they do not share any espoused values. These three organizations do

share latent values, however. All three organizations share equality and two organizations (one and seven) share communication.

Returning to the theory being tested, the ethic of the egalitarian organization was "one for all and all for one." This research suggested that the value underlying the ethic was equality. The research questions asked whether it was the case that a certain structure would display distinct values and whether individuals would display those distinct values. In the case of the egalitarian organization, equality and communication are latent values displayed by individuals across cases. This evidence suggests that in terms of the egalitarian organization, the proposed relationship proposed does exist. It should be pointed out that it exists only in the basic assumptions of the organizations' culture. Just as in the two cases above, this means that these values are influencing the behavior of individuals without being conscious and that they have become the unquestioned norms for the way things should be done around the organization. Not only does the suggested value of equality tie back to the ethic of "one for all and all for one," the other shared theme, communication, appears to be related to this ethic as well. It is worth mentioning that Org1, categorized as egalitarian, displayed the theme of obedience to rules. This theme is suggested to go with the hierarchical organizations. Org1 was one of the largest organizations in the study and it is suggested below that perhaps the size of the

organization has to do with the number of formal rules. It is also worth mentioning that Org1 is a fire department and looks very hierarchical on paper.

Atomistic Individualism

There was only one atomistic organization uncovered in this investigation and this was Org8, a coalition to build mass transit along the major east-west mountain corridor. Figure 5.4 shows the espoused and latent values for this organization.

Espoused Values		**Latent Values**
Org8 Economics Physical Environment	← Atomistic Individualism →	*Org8* Flexibility Creativity Communication

Figure 5.4 Atomistic Individualism

Since only one organization falls within this category, no cross-case conclusions can be drawn. However, returning to the theory being tested, the ethic of the atomistic individualism is "live and let live." This research suggests that the values underlying the ethic were flexibility and creativity. The research questions asked whether it was the case that a certain structure would display distinct values and whether individuals would display those distinct values. In the case of atomistic individualism, we can see that this one case does not display these values in the espoused values of the organization. The values of flexibility, communication and creativity appear, however, in the latent values of the organization. This evidence

suggests that in terms of the individualist organization, the proposed relationship does exist, at least for this one organization. Much like the other organizations above, it exists in the basic assumptions of the organization's culture. Again, this means that these values are influencing the behavior of individuals without being conscious and that they have become the unquestioned norms for the way things should be done around the organization. These unquestioned values clearly tie back to the ethic of "live and let live."

Hierarchical/Egalitarian

Org5, a city manager's office, is an interesting case. The themes uncovered in the within-case analysis showed that it displays characteristics of both hierarchy and egalitarianism. Org5 is a mixed type organization uncovered in this investigation. Figure 5.5 shows the espoused and latent values for this organization.

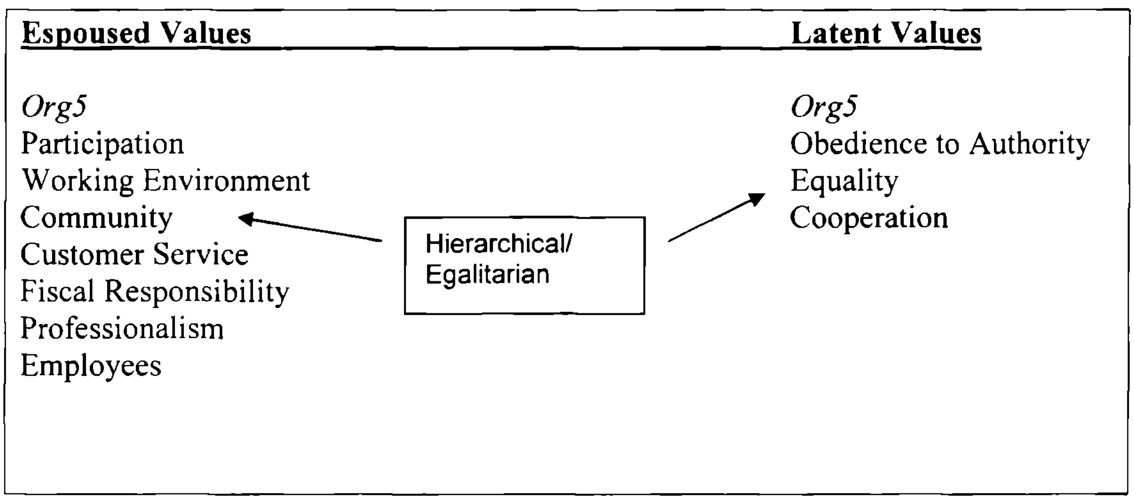

Figure 5.5 Hierarchical/Egalitarian

Unlike the other organizations that fall only in one category, this organization can have cross-case comparisons with the organizations in both categories. Org5 shares the espoused value of community with both Org1 (egalitarian) and Org3 (hierarchy). It also shares the espoused value of customer service with both Org1 (egalitarian) and Org2 (hierarchy). It shares the espoused value of employees with Org3 (hierarchy). The final espoused value it shares is with organizations three and four (both hierarchy) and this value is professionalism. Org5 also shares several latent values. It shares the latent value of cooperation with Org1 (egalitarian), the value of equality with Org1 (egalitarian), Org7 (egalitarian), and Org9 (egalitarian). Finally, it also shares the values of obedience to authority with Org2 (hierarchy), Org3 (hierarchy), and Org4 (hierarchy).

Returning to the theory being tested, there are two organizational ethics at work; "obedience, discipline, and service" and "all for one and one for all." The research questions asked whether it was the case that a certain structure would display distinct values and whether individuals would display those distinct values. In the case of this mixed organization, we can see that this one case does not display the values of obedience to rules, obedience to authority, or equality in the espoused values of the organization. Two of these values do appear, however, in the latent values of the organization. This evidence suggests that in terms of this mixed organization, the relationship proposed by deLeon (1994) may still exist at least for

this one organization. Much like the other organizations above, these themes exist in the basic assumptions of the organization's culture. It is interesting that an organization that displays both categories of structure also displays both kinds of latent values.

Comments

In this dissertation, a theorized relationship between the structure of an organization and the values associated with the organizational ethics is given credibility. These values are not simply espoused, but they are found in the latent values evidenced by the behavior of individuals within the organizations in problematic situations. The strongest support for the theory comes from the hierarchical pyramid and egalitarian organizations where cross-case analysis shows that these latent values show up across cases.

It bears repeating that the goal of this cross-case analysis is to test this theory. As a result, data were analyzed using pre-determined categories that fit the theory being tested. As part of the analysis, statements relating to specific concepts were classified into these pre-determined categories and the analysis searches for patterns or themes within these categories.

Qualitative analysis programs allow researchers to note how frequently a topic was mentioned, which in turn allows for a measure of strength for each particular theme. At the outset of this research the decision was made to do the

coding by hand and, as a result, no analysis programs were used. In future studies of this magnitude, the researcher would choose to use an analysis program. This research, however, can not make assertions about the strength or clarity of the themes identified, except on the evidence of the researcher's perceptions and notes. Nevertheless, in no case did a single statement result in a theme for any given organization. This is not because any statements were excluded, but because the process used for data reduction coupled statements and, after data reduction was complete, the only statements that stood alone were the ones about size, which was not included in this analysis.

Practical Application

Although a dissertation in public affairs should have practical application of some kind, the utility of the findings of this study most likely cannot be realized without further research. It is unlikely that the leadership of an organization, for example, will decide to restructure their organization in light of this project. (In the case of most public organizations, they would not have the authority to do so). As previously emphasized, however, this research is not a study about the manipulation of values but of the relationship between structure and values. Furthermore, it was not a test of Thompson and Tuden's theory that the task environment of an organization shapes its structure. Rather, the findings of this research indicate only that particular types of structure are, in this small sample of cases, associated with

particular sets of values. The implication is that values are not independent of the organization's tasks, and therefore it is still a question whether a manager would even be able to override the values associated with structure.

Nevertheless, this research does have practical application in that it can be used as a tool of understanding. The words "ethics" and "values" continue to be abstract concepts in the realm of public management. The contribution of this research is, in part, to show that values and ethical perceptions are not just about individual likes and dislikes, they are grounded in real world aspects of the organization. If an individual manager wants to change the ethical climate of the organization, it may not be enough to just have a retreat to create a code of ethics (which, since it would be manifestation of espoused values, might well reflect management fads and fashions rather than the deeper layers of culture).

One practical conclusion that managers can draw from this research, however, is this: from other areas of management research, we know that successful organizations have structures and processes that are aligned, rather than at cross-purposes. A team-based organization, for example, should not have a compensation policy based only on individual performance. Similarly, managers of organizations would be well-advised to try to align organizational structure and individual values, particularly as expressed in codes of ethics or other such formal documents. Its easier to "walk the talk" when the path leads where one needs to go.

Espoused Values

As noted earlier, the meaning of espoused values was not discussed with the interviewees. In part, it was avoided in order to stay away from lengthy discussions of values for fear it would taint responses to the questions about problematic situations and behavior. However, it was mistakenly assumed that the espoused values would be straightforward and easy to analyze. When analyzed, the espoused values and the statements attached to them, the statements that coupled with a particular value were not necessarily straightforward definitions of that espoused value. For example, Org3 listed "creativity" on a statement of values. However, they paired up this single value with the statement: "We provide an environment that encourages communication, creativity, opportunities for personal and professional development, training and education, and a sense of ownership for the people in our organization." The statement seemingly includes many more values than creativity including communication, equality, education and possible others. It is not appropriate to re-define an organizations self-described values. In chapter two it was revealed that Schein argued researchers must be careful when attributing meaning to artifacts. It is likely that the same would hold true for espoused values.

The whole idea of espoused values may be called into question. As Schein noted, espoused values "...focus on what people say is the reason for their behavior, what they ideally would like those reasons to be, and what are often their rationalizations

for their behavior"(Schein, 1984 p. 3). As noted above, these values do not necessarily drive the behavior of individuals within the organization. In other words, it may be that an organization thinks it is fashionable to say something about creativity, for example, it adds creativity to its value statements without a lot of thought about what it means. There are four organizations in this study that are especially suspect of this trend: Org3 (pg, 145), Org4 (pg. 153), Org5 (pg. 162), and Org6 (p. 171). Org6 does not given any information about its value statement - they just list the words. During the interviews I did perceive that interviewees listed values that seemed fashionable for the times. For example, interviewees in three organizations, Org1, Org2, and Org5, listed customer service as a value. Given the movement in the last decade to "reinvent" government (Osborne & Gaebler, 1992, 1995) this should not be surprising. The meaning of customer service, however, was found to be very different in these organizations. In future research studies, I would like to return to the questions surrounding the meaning of espoused values.

In future research about the meaning of espoused values, it would be interesting to see if values often paired would show up together and with similar meanings. For example, would communication and openness show up together, would kindness, empathy, and compassion show up together? How would individuals that espouse similar values define them in relationship to each other?

Other General Conclusions

As noted, not all of the data collected were used in the analysis because not all of them were related to the research questions as they were posed. A few general themes were interesting and are worth mentioning, however. First, in the interview questions about environment, and as noted in the section above, the public institutions all expressed what they called a customer service culture. They tended to view citizens as customers. One of the fire chiefs noted that 10 years ago they would have not given a stranded citizen (for example, with a flat tire) a ride for fear of legal ramifications. Now, they would not dare to not help out in this way because "customers expect this." The other fire department noted that their firefighters are told it is their job, when *not* responding to an emergency, to stop and help citizens with these kinds of tasks. A police organization said the same thing. The customer service culture is surprising. What is surprising is the *face* of customer service. It is not just about being efficient - giving a customer a ride home is probably not done for efficiency reasons.

In many of the cases included in this study, the individuals being interviewed were dependent on the support of a city council or board of directors. This came out in the questions surrounding strategic choices. Individuals reported being allowed to reorganize and restructure their own organizations only if it did not require a change in the budget. The role of public dollars might limit the re-structuring of an

organization. If structure is related to ethics, as this thesis suggests, not being able to restructure because of the budget has very interesting ramifications.

Finally, one of the characteristics that Thompson and Tuden include in their outline of organizations is information sharing. In 1959, they would not have realized the impact that it would have. Every organization in this study used e-mail to communicate. E-mail makes it much easier to share information with members of any organizations. Although the organizations categorized as hierarchical still used the chain of command for important or sensitive information, it was clear that most of these organizations have e-mail overload. It is also true that individuals now have access to a wealth of information about almost any organization on the Internet. It would be interesting to see how they would classify information sharing today. Given the ease of sharing information, I think it unlikely that they would make it an organizational determinant except in cases where information is not shared. For example, only two organizations, Org2 and Org4, relied heavily on person-to-person information sharing. The other fire and police organizations used blast e-mails for non-sensitive information.

Limitations

The limitations of this dissertation have to do with the limited sample, the inability of case studies to draw general conclusions, and the reliance on individuals who self report their own behavior and the behavior of others. The sample of

organizations included here is limited in many ways. First there are only nine organizations and, although this is a good number of cases to use in cross-case analysis, the relatively small number of cases will not allow generalizability (Bernard, 2000; O'Sullivan & Rassel, 1999). The sample was further limited because all of the organizations were either public or non-profit. Looking at their mission and value statements, one can see that they all shared the idea of the public good. This is a limiting factor because in looking especially at espoused values, there may be important differences in the private sector. No organization in this sample, for example, mentioned making a profit as one of their organizational values. I would assume that most for-profit entities would list profit as a value in addition to competition for both resources and customers. It is likely that the espoused values of public and private organizations would be more likely to differ than their latent values but this remains to be uncovered by future research.

Another limiting factor is that all of the organizations are from the Denver area. One of the interviewees admitted that organizations copy mission statements and value statements from each other. This lends support to the idea above that organizations want to include any values at are fashionable for the time. It is probable that sharing these statements occurs more readily among associations that have contact with each other. Again, I suspect this is a greater limitation for espoused values than for latent values. If espoused values are simply copied from

another organization, then it is unlikely that they have much meaning to the individuals within the organization -- which may explain the problem of mismatching values and statements discussed above. It would be fascinating to see whether espoused values differed in different regions of the country.

The sample is also limited to small-medium size organizations. One of the themes in latent values found in Org1 was obedience to the rules, even though they displayed the characteristics of an egalitarian organization. It is entirely probable that larger organizations must stress obedience to the rules, since their members are unlikely to have day-to-day contact and be informed about what every other member of the organization is doing. One also wonders if some types of categories of organizational structure might not be possible in very large organizations. This is especially true of egalitarian and individualistic organizations where participation is required by the entire membership. Large organizations are usually broken into smaller sub-organizational units, and the various organizational types might appear in those units.

Another limitation has to do with data collection. Schein (1984) argues that the best method for studying basic assumptions is observation. As part of this research, behavior was asked about as opposed to observed. This is problematic because there is the possibility that interviewees described socially desirable behavior as opposed to an accurate account of actual behavior. The reason for not

including observational techniques is two fold. First, there was a trade off between the number of organizations that could be included if observational techniques were used. To see individuals behaving naturally one would have to be embedded in the organization. Simply observing individuals within an organization for a few days might still yield unreliable and socially desirable information. The second reason, directly related to the first, is the time and resources available when undertaking this research. Becoming embedded in the organization takes a great dean of time, but spending an adequate amount of time in each of the nine organizations was not possible in this unfunded project. One possibility would have been to include fewer organizations and to use observational techniques in these few organizations only. Since this was not done, however, the reader should be cautious when reading the conclusions of the study.

The individuals interviewed as part of this research were relatively high ranking individuals within the organization. The reason for choosing high ranking interviewees was to gain the perspective of individuals who could speak for the organization as a whole. Originally the plan was to include the perspectives of other employees as part of a follow up survey. The results of this study would have been further enhanced and verified with data from lower ranking members of each organization. This did not take place because of the limitations that time and resources imposed. This is still part of a future research agenda, however. The

implication of not including perspectives of individuals from a variety of levels means that the perspectives about structure, espoused values, and latent values come from an elite perspective. Including other viewpoints may have corroborated the data found here or it may have painted a different picture of the organization. The reader should keep this in mind when reading the conclusions of the study.

One final limitation is the data about individuals' behavior were collected by using the group interviews. Since the questioning had to do with how individuals responded to problems, it is possible that some social desirability was involved (O'Sullivan & Rassel, 1999). For example, an organization may not want to air all its dirty laundry if any of the behavior would come across as unprofessional. Since the most contentious organization, Org6, admitted defensiveness and stubbornness in the face of problems, however, this may not be the case.

Future Research

The first would be to expand the study into a quantitative one that includes many more organizations. Many of the problems noted in the methodology chapter can be solved using this qualitative study as a springboard. For example, a survey about the espoused values of an organization could be developed using the values that organizations actually espoused. This could focus on the meaning of the espoused values and whether respondents thought these values were socially desirable. Even though there were very few shared themes within espoused values, the themes uncovered at least provide viable options to develop an instrument in this area. In addition, the actual problems as described by the interviewees could be the basis of questions about behavior within various types of organizations. For example, two organizations listed employees being late or not showing up to work as a problematic situation. I suspect this is the case in any organization that has minimum staff requirements. A vignette could be developed surrounding this topic that could be used in a variety of organizations.

A second and similar study might focus on the relationship between mission and espoused and latent values. This research has shown that organizations with similar missions do not necessarily have the same structure and culture. Before doing this project one might have assumed the mission of an organization was related to its espoused values. This study focused only on the internal perception of

ethics by organizational members. The perception about the ethical behavior of organizational members from individuals on the outside are likely to be more tightly coupled with espoused values and mission. For example, an individual community member's perceptions about the ethical standards for police officers is unlikely to be based on whether they are obedient to authorities within the organization. In fact, the phenomenon that Cooper and Yoder (2002) reveal above suggests that the public thinks it is unethical when police officers are unethical if they do not turn in their superiors for actions that are blatantly against the law. The relationship between espoused values, mission, and the public external perception of ethics is worthy of explanation. Related to this topic, one thing that I found very interesting was the different structure and culture portrayed by the fire department and the fire district. Both have similar missions, but their structure and culture seem very distinct from each other. I would also be interested in studying the role of mission on the organizational structure and culture.

I also think a longitudinal study of a few organizations would be another interesting test of this theory. At no time has this theory suggested that structure was unchanging. In fact, it is the contention of this researcher that organizations and structures evolve and change over time. If this is the case, what happens to the organizational values? For example, what will happen to the coalition working on the issue of mass transit across the major mountain corridor? The interviewee

seemed to think that their structure would continue to change. Is this because she projects that their values will change as well? Following organizations in transition would also be an interesting study.

Finally, since this project began, I have suggested that I think that understanding organizational values and their relationship to structure is only partially the answer to uncovering what constitutes the ethical climate of an organization. There are many other aspects of culture that could be studied including rules, personalities, leadership, and sector just to name a few. Structure and values are only one piece of the puzzle and the other pieces still have to be uncovered.

Closing

In closing, this dissertation found a relationship between the structure of an organization and the values that are part of its culture. Axiology, the study of values, suggests that values can be tied back to a perception of what is ethical in an organization. These values were not espoused but were the latent values, or part of the basic assumptions, of an organization's culture. This means they influence the behavior of individuals without necessarily being conscious. This research did not empirically test the relationship between these latent values and the perceived ethical climate. This work remains to be done. Nevertheless, verifying that a relationship exists between how an organization is structured and the values that guide behavior will take public managers a long way toward understanding the ethical climate of their organization.

APPENDIX A. Search For Values In The Literature.

My method included searching the journals that Menzel had used in his studies on research on ethics in public administration. I was able to access electronically 7 of the 10 journals used by Menzel. These included *Administration and Society, American Review of Public Administration, International Journal of Public Administration, Journal of Public Administration Research and Theory, Public Administration Quarterly, Public Administration Review* and *Public Integrity*. In addition, since the focus of my larger work is in the realm of public management, I added the journal *Public Management Review* to the list, for a total of 8 journals.

In December of 2005, I searched for journal articles with the word "values" in the title. Although it is possible that there may have been a few studies which included values in the variable set, I decided that if values were a main variable and/or part of the study, it was likely to be reflected in the title. Although I was able to view the full text of articles in all of these journals, one major drawback of an electronic search is that the years of availability for the journals above was not consistent. Some were available starting as early as 1979 while other were not availably electronically until as late as 2002. The results of what I found including the journal title, years of electronic availability, and number and title of articles are as follows:

Journal: *Administration and Society*
Available Electronically: 1998-present
Number of Articles with "Values" in the Title: 0

None Available

Journal: *American Review of Public Administration*
Available Electronically: 1998-present
Number of Articles with "Values" in the Title: 2

Arsneault, S. (2001). "Values and Virtue: The Politics of Abstinence-Only Sex Education." American Review of Public Administration **31**(4): 436-454.

Vinzant, J. C. (1998). "Where Values Collide: Motivation and Role Conflict in Child and Adult Protective Services." American Review of Public Administration **28**(4): 347-366.

Journal: *International Journal of Public Administration*
Available Electronically: 1979-present
Number of Articles with "Values" in the Title: 5

Anderson, K. V. and J. N. Danziger (1995). "Information Technology and the Political World: The Impacts of it on Capabilities, Interactions, Orientations and Values." International Journal of Public Administration **18**(11): 1693-1724.

Golembiewski, R. T. (1993). "Organizational Development in the Third World: Values, Closeness of Fit and Culture-Boundedness." International Journal of Public Administration **16**(11): 1667-1691.

Gulick, L. (1998). "Science, Values, and Public Administration." International Journal of Public Administration **21**(2-4): 635-641.

Hetzner, C. and V. A. Schmidt (1986). "Bringing Moral Values Back In: The Role of Formal Philosophy in Effective Ethical Public Administration." International Journal of Public Administration **8**(4): 429-453.

Wilson, P. (2003). "Politics, Values, and Commitment: An Innovative Research Design to Operationalize and Measure Public Service Motives." International Journal of Public Administration **26**(2): 157-173.

Journal: *Journal of Public Administration Research and Theory*
Available Electronically: 2003-present
Number of Articles with "Values" in the Title: 0

None Available

Journal: *Public Administration Quarterly*
Available Electronically: 1980-present
Number of Articles with "Values" in the Title: 6

Carter, L. H. (1986). "Constitutional Values and the Administration of the Public's Affairs." Public Administration Quarterly **9**(4): 434-438.

Freeman, P. K. (1984). "Values and Policy Attitudes Among State Legislators and Administrators." Public Administration Quarterly 7(4): 482-497.

King, N. R. (1992). "Managing Values at City Hall." Public Administration Quarterly **16**(2): 235-253.

Mayo, J. A. (1989). "Confronting Values in Policy Analysis." Public Administration Quarterly **13**(3): 412-416.

Nalbandian, J. and D. E. Klingner (1987). "Conflict and Values in Public Personnel Administration." Public Administration Quarterly **11**(1): 17-33.

Park, C., N. Lovrich Jr, et al. (1989). "Post-Materialist Values in the Post-Industrial Workplace: A Test of Inglehart's Theory of Value Change in the Context of U.S./Korean Comparisons." Public Administration Quarterly **13**(2): 273-292.

Journal: *Public Administration Review*
Available Electronically: 1980-Present
Number of Articles with "Values" in the Title: 14

Kernaghan, K. (2003). "Integrating Values into Public Service: The Values Statement as Centerpiece." Public Administration Review **63**(6): 711-719.

Lewis, G. B. and A. C. Brooks (2005). "A Question of Morality Artist's Values and Public Funding for the Arts." Public Administration Review **65**(1): 8-17.

Luton, L. and J. A. Stever (2001). "Values for Public Administration Renewal." Public Administration Review **61**(5): 625-629.

Menzel, D. C. (1997). "Teaching Ethics and Values in Public Administration: Are We Making a Difference?" Public Administration Review **57**(3): 224-230.

Piotrowski, S. J. and D. H. Rosenbloom (2002). "Nonmission-Based Values in Results-Oriented Public Management: The Case of Freedom of Information." Public Administration Review **62**(6): 643-657.

Posner, B. Z. and W. H. Schmidt (1994). "An Updated Look at the Values and Expectations of Federal Government Executives." Public Administration Review **54**(1): 20-24.

Punyaratabandgu-Bhakdi, S. (1983). "Individual Values, Organizational Structure, and the Problem of Performance: Thailand as a Case Study." Public Administration Review **43**(6): 510-519.

Reed, C. M. (2002). "Reconciling Environmental Ethics and Political Values." Public Administration Review **62**(6): 740-743.

Schmidt, W. H. and B. Z. Posner (1986). "Values and Expectations of Federal Service Employees." Public Administration Review **46**(5): 447-454.

Schmidt, W. H. and B. Z. Posner (1987). "Values and Expectations of City Managers in California." Public Administration Review **47**(5): 404-409.

Stewart, J. and P. Kringas (2003). "Change Management—Strategy and Values in Six Agencies from the Australian Public Service." Public Administration Review **63**(6): 675-688.

Terry, L. D. and R. Roberts (1996). "Constitutional Values and Public Service." Public Administration Review **56**(2): 213-214.

White, M. J., L. F. Weschler, et al. (1980). "Values, Truth, and Administration: God or Madman." Public Administration Review **10**(1): 91-98.

Worthley, J. A. and P. Wilenski (1984). "Public Administration in the People's Republic of China: An Overview of Values and Practices." Public Administration Review **44**(6): 518-523.

Journal: *Public Integrity*
Available Electronically: 2003-present
Number of Articles with "Values" in the Title: 0

None Available

Journal: *Public Management Review*
Available Electronically: 2001-present
Number of Articles with "Values" in the Title: 2

Hewison, A. (2002). "Managerial Values and Rationality in the UK Health Service." Public Management Review **4**(4): 549-579.

Jorgensen, T. B. and B. Bozeman (2002). "Public Values Lost? Comparing Cases on Contracting Out From Denmark and the United States." Public Management Review **4**(1): 63-81.

Some general observations include: 1) not one study mentioned above looks at the relationship between values and behavior, 2) there were only a total of 29 articles with the word "values" in the title and almost half of them were in *Public Administration Review, 3)* it quickly became apparent that there was no consistency or continuity with respect to the study of values. In fact, there was not even consistency in which the way values were defined nor what constituted a value, and 4) a large number of the articles above were either not empirical or did not include values as an operationalized variable. Rather, values seemed to be an emotive concept (such as political values or constitutional values), which were appealed to in some general way.

APPENDIX B. Interview Protocol

Interview Protocol

Type of Organization:____

ID Number ____________________

Thank you for agreeing to meet with me today. As I explained during a phone conversation with ______________, I am doing a study, which examines the relationship between an organization's structure and culture. I am going to ask this group a number of questions about the organization you work for. The group interview should take about _ minutes to complete. I will finish the interview by asking if there is anything I failed to ask about this organization that you think is important to understanding the organization. With your permission, I will also call each of you individually in about a week to go over what I write up after this interview.

Please note, your names and the name of the organization will be kept confidential. Your name and organization will be assigned a code, and the code will be used on all instruments and on the consent form. In addition, your name and the name of the organization will not be used in my dissertation or published papers.

1. How would you describe goals or the mission of this organization?

   1a. (If a sub-organizational unit) How would your describe the goals or mission
   of ________ (name of unit) ______?

   Probe: Would you say that _______ (name of unit) _______has similar or different goals than the organization as a whole?

   1b. If different, how would you categorize these differences?

2. How many people work for this organization?

   2a. (If a sub-organizational unit) how many people work for (name of unit) ?

3. How would you describe the stability of the organization?

   3a. Is there a lot of employee turnover? Probe: How long would you say the average person has worked for this organization?

   3b. Has the leadership in the organization been consistent? Probe: How long would you say the leaders in this organization have worked here?

3c. Have you experiences changes in your daily tasks due to technology (in the recent past)? Probe: Have cell phones, computer systems, e-mail, etc. changed your service delivery?
3d. Has your organization recently went through a re-organization process (If no, skip to question 4).
3e. If yes, what prompted re-organization and what changed?
3f. Would you say the change was successful?

4. When at work, would you say that there are a large number of formal rules that you are expected to follow? (If not, skip to 4c)

4a. Do you have a formal set of policies and procedures that you consider "rules?"
4b. If you had to guess, how many rules would you say there are?
4c. Is there a system in place to ensure that employees follow rules or are employees on the honor system?
4d. How important would you say that following these rules is to the overall mission or goals of the organization?
4e. If there are not formal rules, are there informal rules employees expect others to follow?

5. When new employees are hired, what is the process of teaching them "the ropes"?

Probe: Are new employee's left to figure things out on their own or is there some sort of training process?

6. How would you describe the relationship between management and other employees?

6a. Would you say that employees in this organization have a good working relationship?
6b. If there is a disagreement between employees, how does it generally get resolved?

7. What resources (financial and otherwise) is this organization dependent on to get the job done?

7a. What is the source of each resource (list individually)? Probe: where does it come from?

8. Who in this organization gets to make decisions about resources? For example, who decides how finances will be raised and how they will be spent?

8a. Does the leadership of this organization take the lead on financial decisions?
8b. How are employees compensated for their time? Probe: are there financial incentives or commissions involved?

9. Describe the type of tasks/interventions/actions members of this organization complete on a day-to-day basis.

9a. Which of these of tasks/interventions/actions would you say is most important to achieving the mission or goal of the organization?

10. Do the members of this organization have individually assigned specialized tasks?

Probe: Are individuals assigned to specific units within the organization? Do they repeat the same task/duty with different cases? (if no, skip to 10c)
10a. If yes, are these tasks assigned based on a special skill?
10b. When individuals are hired in this organization, are they hired to meet a specific need of the organization OR are they generally hired because they have specific skill?
10c. If individuals are not hired based on a specific set of skills, what criteria is used in the hiring process?

11. Who is involved in the hiring process and who makes the ultimate decision whether or not to hire an individual?

12. In general, describe the decision-making process involving tasks/interventions/actions in this organization? Probe: Who is included in the decision-making process?

12a. Are they any ramifications if members of the organization do not like the decisions about tasks/interventions/actions in this organization? Is dissention talked about and how are alternative viewpoints incorporated (if at all)? Does any specific group have veto power?

13. Would you say that decisions in the organization are made by individuals or by a larger group? Probe: Do members of your organization vote on important topics? (If individual, skip to 14).

13a. If members of the organization do not vote, how do members of the

organization make their opinions known? Probe: Is there an opinion box?

13b. How freely do you think members of this organization express their opinion?

13c. How do other members of the organization feel about individuals expressing their opinion?

13d. Are diverse opinions taken seriously? Would you say that it is important to try to accommodate each individual's ideas in the decision-making process?

14. Once a decision is made about tasks/interventions/actions for this organization, are members of the organization expected to follow that instruction without question or is there room for discretion? Probe: Are individuals within the organization bound by a set of policies while conducting their day-to-day tasks or are do they have freedom to complete their tasks as they see fit?

15. How is information shared with members of the organizations?

15a. Do all members of the organization have equal access to information?
15b. Is information shared with the group as a whole or is it routed to only those individuals that it directly affects?

16. Could the administrators of this organization (you) re-organize the organization if they (you) saw fit?

17. What is a typical problem/dilemma/scenario that members of your organization face?

17a. When face with ______(list problem)______ how do members of your organization react? Probe: What do they do physically and what do they talk about?

18. Can you think of a second type of problem/dilemma/scenario that arises in your organization?

18a. When faced with __________(list problem)_______ how do individuals within the organization expect others to react?

19. Are there any behaviors/actions taken/responses to this problem (list problem) that would not be accepted as adequate behavior by the other members of the organization?

20. Organizational values may be defined as the core convictions of the organization or values about the way in which the organization should go about its work. Using this definition, what would you label as the values important to this organization?

> 20a. Of the values you listed, which you say is the most important to the members of this organization and which are the least important? Probe: if you had to choose one value as your motto, what would it be?
>
> 20b. Do you think all the members of this organization would list the same values, if not, what other values do you think they might include?

21. Is there anything I left out that you would like me to know about your organization?

Thank you for your time. I would like to contact you in about a week to go over this interview and to check in to see if there is anything you thought of after this interview that you think I should include in the study.

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